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ABSTRACT

Public Libraries are an important service traditionally provided by local government in the United States. The national government has furnished assistance in the form of grants to the states since the passage of the Library Services Act in 1956. In 1996, the Library Services and Technology Act (LSTA) became law, representing major changes to these grant programs. Emphasis of the federal government's grant program for libraries has changed, and administration has moved to a new agency, the Institute for Museum and Library Services (IMLS). This paper describes the transition to LSTA, analyzes the implications of the change, and examines the LSTA process in the larger context of models of intergovernmental relations. Research for this study consisted of both a survey and case studies of selected states. A questionnaire was sent to LSTA coordinators in the 50 states, Puerto Rico, and the District of Columbia, and then individual case studies were conducted in Arizona, New Mexico, Texas, and Massachusetts. Survey results indicated that the states are increasing their emphasis on technology in LSTA programs. State LSTA coordinators generally approved of the IMLS and rated it as doing a better job than the previous administering agency. The case studies illustrate the variation between states in use of LSTA funds. Following an examination of several models of intergovernmental relations, a modified version of Wright's (1988) coordinate-authority model is proposed to describe the LSTA process. This model appears to best describe the federal-state-local relations which presently exist in the context of library funding. The survey and interview questions are appended. (Author/AEF)

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I

THE LIBRARY SERVICES AND TECHNOLOGY ACT:

NEW DIRECTIONS IN FEDERAL FUNDING

FOR LIBRARIES

BY

GWEN GREGORY

A Thesis submitted to the Graduate School

in partial fulfillment of the requirements

for the Degree of

Master of Public Administration

New Mexico State University

Las Cruces, New Mexico

December 1998

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"The Library Services and Technology Act: New Directions in Federal Funding for Libraries," a thesis prepared by Gwen Gregory in partial fulfillment of the requirements for the degree, Master of Public Administration, has been approved and accepted by the following:

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ABSTRACT

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BY

GWEN GREGORY

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New Mexico State University

Las Cruces, New Mexico, 1998

Dr. Nadia M Rubaii-Barrett (Chair)

Public libraries are an important service traditionally provided by local government in the United States. The national government has furnished assistance in the form of grants to the states since passage of the Library Services Act in 1956. In 1996, the Library Services and Technology Act (LSTA) became law, representing major changes to these grant programs. Emphasis of the grant program has changed, and administration has moved to a new agency, the Institute for Museum and Library Services (IMLS). This thesis describes the transition to LSTA, analyzes the implications of the change, and examines the LSTA process in the larger context of models of intergovernmental relations.

The research for this thesis consisted of both a survey of all states and case studies of selected states. LSTA coordinators in the fifty states, Puerto Rico, and the District of Columbia were asked to respond to a mailed questionnaire, and then individual case studies were conducted in Arizona, New Mexico, Texas, and Massachusetts. Survey results indicated that the states are increasing their emphasis on technology in LSTA programs. State LSTA coordinators generally approved of the IMLS and rated it as doing a better job than the previous administering agency. The case studies illustrate the variation between states in use of LSTA funds.

After an examination of numerous models of intergovernmental relations, a modified version of Wright's (1988) coordinate-authority model is proposed to describe the LSTA process. This model appears to best describe the federal-state-local relations which presently exist in the context of library funding.

TABLE OF CONTENTS

LIST OF TABLES x

LIST OF FIGURES xi

INTRODUCTION 1

Library Services and Technology Act 3

Organization of This Thesis 6

LITERATURE REVIEW 8

History 8

Literature of Federalism 12

Intergovernmental Relations in Substantive Policy Areas 19

Applications to LSTA 23

RESEARCH QUESTIONS AND EXPECTED FINDINGS 27

METHODOLOGY 32

Survey 32

Case Studies 39

FINDINGS 43

Survey Results 43

Descriptive Statistics 44

Correlational Analysis 55

Case Study Results 59

IMLS Visit 59

Arizona....62
New Mexico....70
Texas....75
Massachusetts....80
Comparison of States....85
IMPLICATIONS....94
BIBLIOGRAPHY....104
APPENDIX A : LSTA SURVEY....111
APPENDIX B: INTERVIEW QUESTIONS....116

LIST OF FIGURES

Figure 1: Wright's Models of Federalism 16

Figure 2: Percentage of LSTA funds distributed to local libraries 45

Figure 3: Changes from LSCA to LSTA: Technology Programs 46

Figure 4: Changes from LSCA to LSTA: Non-technology programs 47

Figure 5: Local Libraries' Responses to LSTA 48

Figure 6: Importance of Library Technology in the State 49

Figure 7: General comparison of the IMLS to the OLP (% of respondents) 50

Figure 8: How the IMLS compares to the OLP in specific areas 51

Figure 9: How LSTA Coordinators View their Roles 52

Figure 10: Other Grants Administered by State Libraries 53

Figure 11: Number of Public Libraries per State (% of respondents) 54

Figure 12: Presence of Intermediary Libraries in State 54

Figure 13: Number of Employees at State Library (% of respondents) 55

Figure 14: Administrative Location of State Library 55

Figure 15: Model of the LSCA Process 101

Figure 16: Model of the LSTA Process 102

LIST OF TABLES

Table 1: Chronology of Federal Library Programs 9

Table 2: IMLS Library Grant Programs 11

Table 3: Summary of State Coordinator Responses 36

Table 4: Additional State-level Variables 37

Table 5: Correlation Matrix 57

Table 6: Comparison of Case Study States 87

INTRODUCTION

The history of public libraries in the United States began with the founding of the Boston Public Library in 1852 (Gates 1968, 193). The first state library commission was established in Massachusetts in 1890 (Carpenter 1996, 35). Public libraries grew rapidly in number and size during the last quarter of the nineteenth century, and this growth continues to the present day. Public libraries serve several important purposes in our democratic society. Foremost is the creation of an educated and informed citizenry which is able to make the decisions necessary to participate in government. The public library is a place where all citizens can go to educate themselves, regardless of their age, race, sex, or national origin. This is not a new idea; Julius Caesar proposed the establishment of public libraries in ancient Rome for the same purpose (Gates 1968, 91). In the United States, industrial magnate Andrew Carnegie was an important proponent of this idea. As the largest benefactor of libraries in recent history, by 1919 he had donated funds to build 2,505 libraries, costing over $40,000,000, in the United States and Canada (Daniel 1961, 20). Self-education is still the cornerstone of the public library's mission: the public library "provide[s] the ... materials to meet the individual and group needs of its constituency ... and makes them easily, freely, and equally available to all citizens" (Gates 1968, 201). Primary and secondary students as well as adults use the library to learn about a variety of topics. All members of our society benefit from having a well-educated

populace, even those who choose not to use the services of the public library. Libraries are a public good which benefit us all.

Public libraries are, in many ways, affected by the relationships between levels of government in the U.S. political system. The founders of the United States delineated the powers of each level in the Constitution and in many subsequent laws. James Madison "sought for a middle ground which may at once support a due supremacy of the national authority, and not exclude the local authorities whenever they can be subordinately useful" (Scheiber 1993, 73). The balance between the levels has been of constant interest through the years. In his classic 1887 essay "The study of administration," Woodrow Wilson (1992, 16) noted that "our duty is, to supply the best possible life to a federal organization, to systems within systems; to make town, city, county, state, and federal governments live with a like strength and an equally assured healthfulness, keeping each unquestionably its own master and yet making all interdependent and cooperative, combining independence with mutual helpfulness."

In the twentieth century, intergovernmental relations have become increasingly important to public libraries in the United States. Funding from both federal and state governments support local libraries. However, there is a lack of research in this area. Few scholars have analyzed federal library grant programs. Also of note is the lack of empirical studies which apply models of intergovernmental relations to the operation of libraries or examine variations in library priorities and

structures across states. A better understanding of how these models apply to libraries will help many actors in the process. National, state, and local officials will better understand how they fit into these models. National officials will see how their relations with Congress might be changed to promote better results for the end users of library services. State and local officials will gain a better understanding of the national level forces at play. This will help them better work within the federal grant programs to accomplish their particular library goals. They may have more success in writing acceptable plans, and in applying for competitive grants from the national government.

In an effort to partially fill the gap in the literature, this thesis examines current library policies from both a cross-sectional and a case study approach. The intent is to make three contributions to the field. First, an overview of the cross-state variations in library operations and procedures, focusing on LSTA programs, is provided. Second, an in-depth examination of selected states allows an understanding of why such variations exist. Finally, the study of library funding is placed within the broader context of federalism. The particular focus of this research is the Library Services and Technology Act (LSTA), the current major federal grant program for libraries.

Library Services and Technology Act

Public Law 104-208, including the LSTA, was enacted in September 1996, replacing the Library Services and Construction Act (LSCA). It authorized several

major changes in federal library grant programs. First, responsibility for library services was moved from the Department of Education to the newly created Institute of Museum and Library Services (IMLS). IMLS is part of the National Foundation on the Arts and Humanities, an independent federal agency. As a smaller independent agency, the IMLS can focus on library programs in a way that the Department of Education did not. LSTA is the largest grant program now administered by the IMLS.

Second, as the new name indicates, the LSTA has an emphasis on technology. Funding is no longer available for construction of buildings, as was the priority under previous grant programs. The new priority is creation of the technological infrastructure necessary to obtain, use, and share electronic information. This includes constructing and accessing electronic networks. Some priorities under the predecessor LSCA program, including services to the underserved and rural areas, continue under LSTA.

Third, the types of libraries served are expanded. LSCA was limited to public libraries. The scope of LSTA is broader and includes all types of libraries: public, school, academic, and special. This means a vastly expanded pool of libraries can expect to benefit from this grant program. State library agencies may need to change their focus to accommodate these new users. LSTA grants began in FY 1998. As of 1998, states are spending both final LSCA and new LSTA funds. The remaining LSCA funds must be spent by the end of FY 1999.

This thesis focuses on the use of federal LSTA funds in the states. Differences are identified between LSTA and the previous federal library grant program, the Library Services and Construction Act (LSCA), which provided federal funds to libraries from 1964 to 1997. The interactions between the various actors involved (Congress, federal agencies, state agencies, lobbying groups, etc.) play a vital role in how LSTA is implemented. The differences in the federal law may or may not be reflected in programs created and administered by the states. Specifically, this research asks, are the intentions of Congress in creating this new grant program being fulfilled? Another area of study is whether LSTA is easier for states to administer and to what extent administration of LSTA is different from LSCA. Additional questions include: to the extent that administration differs under the two programs, how much and in what ways are library services affected? How is the new federal administrative agency different from the old one? How do the states view these changes? This research will provide both academic and applied audiences with useful information. From a theoretical perspective, this thesis will provide an analysis of an additional substantive policy area (libraries) within the context of the models of intergovernmental relations. On a more practical level, state and federal officials are interested in this information. They have expressed strong interest in reviewing the findings of this research.

Organization of This Thesis

Chapter Two presents a brief history of federal grant programs to public libraries in the U.S. A more detailed history of the models of federalism is provided and important literature on intergovernmental relations is reviewed.

Chapter Three begins with a review of the intent of LSTA's authorizing legislation. This leads to a discussion of how to assess whether the LSTA program is fulfilling these goals. The purpose of this research project is twofold. This first is to review the current state of the transition to LSTA and how the states are accomplishing this transition. Problem areas in the change to LSTA are hypothesized to be use of technology, incorporation of all types of libraries into the program, and handling of reduced federal oversight. The second purpose is to fit this particular grant program into the theoretical framework of intergovernmental relations by applying some of the many models and theories available.

Chapter Four presents the methodology of the research. The research uses a two-pronged approach, with both a cross-sectional survey of the fifty states, Puerto Rico, and the District of Columbia, and individual case studies. State libraries were surveyed, and this data was analyzed in light of other state level characteristics. In-depth case studies of four individual states were also conducted. These case studies provide more detailed information about state transitions to LSTA.

Chapter Five presents the findings of the study. Survey results are presented which illustrate the variation among states. Simple statistical analyses are conducted

to assess the correlation among selected state LSTA data and other state information, such as population. More detailed results from the four case studies are also presented, along with discussion of the similarities and differences among the four states.

Chapter Six presents some implications of these results. Recommendations are made for improvements to LSTA implementation. Finally, an assessment of intergovernmental relations models and how they apply to the LSTA program is presented. Throughout this thesis, an effort is made to balance applied and theoretical interests, and to meet the needs of practitioners while making a contribution to the literature.

LITERATURE REVIEW

This chapter provides background information necessary for understanding basic concepts of federalism and intergovernmental relations as they apply to the Library Services and Technology Act (LSTA) program. A history of federal library support in the United States is presented first, followed by a review of literature of federalism, with discussion of several important models of intergovernmental relations. Program-specific research is then reviewed, including research on intergovernmental relations in libraries and other policy areas. Finally, a discussion of how these models might apply to the LSTA program is presented.

History

The LSTA continues a long tradition of federal library funding (see Table 1). In 1936, Congress authorized creation of a unit devoted to library programs and issues in the Office of Education, which was then part of the Department of the Interior. This unit began operations in 1938. Its seven staff members focused on "compilation of national library statistics and on the provision of library assistance" (Molz 1976). In 1946, the American Library Association (ALA) began to lobby Congress for federal financial assistance to rural public libraries. This effort culminated in the passage of the Library Services Act (LSA) in 1956. The first goal of federal library aid was the extension of library services to unserved areas (Gates 1968, 176). Like most grant programs of this era, this categorical grant program relied on a formula for

allocation. The formula took into account the rural population of a state, matching amounts required from the state, and the state's plan for spending the funds. The matching amount required from the state varied, depending on its per capita income relative to the national average. These funds were administered by the designated state library agency, usually the state library. A notable effect of the LSA was the growth of state libraries to run these programs (Molz 1976).

Table 1: Chronology of Federal Library Programs

YEAR	FEDERAL LIBRARY PROGRAM
1936	Library programs unit created in Office of Education
1956	Library Services Act (LSA) passed
1964	Library Services and Construction Act (LSCA) replaces LSA
1996	Library Services and Technology Act (LSTA) passed
1997	First LSTA grants to states

In 1964, the LSA was replaced by the Library Services and Construction Act (LSCA). The LSCA removed restrictions limiting funding to rural libraries and added Title II, which contained funds for remodeling or construction of library buildings. In 1966, the act was amended to include Titles III and IV, which supplied funds for interlibrary cooperation and services to the institutionalized and physically handicapped. Funding for LSCA remained steady through 1997, despite the fact that during the 1980s several presidential budget proposals zeroed out its funding (Weaver 1996). The LSCA program was administered by the U.S. Department of Education. Over the years, the ALA was important in mustering continued support for these programs (Fuller 1994).

In the 1990s, libraries and the ALA lobbied for changes in the LSCA. As early as the 1980s, librarians felt that some of the original goals of the LSCA had been accomplished, and that federal funds could be used to meet new needs (Holley 1983). These efforts ultimately resulted in the passage of the Library Services and Technology Act (LSTA) in September of 1996. Public Law 104-208 authorized several major changes in federal library grant programs. First, responsibility for library services was moved from the Department of Education to the newly created Institute of Museum and Library Services (IMLS). IMLS is part of the National Foundation on the Arts and Humanities, an independent federal agency. This independent institute is not part of the Department of Education or any other cabinet department. The IMLS was formed in October 1996 by the merger of the Institute for Museum Services and the Office of Library Programs (OLP) in the Office of Educational Research and Improvement of the Department of Education. Second, as the new name indicates, the state grant portion of LSTA has a different emphasis from previous library grant programs. Funding is no longer available for construction of buildings. An important new priority is the creation of the technological infrastructure necessary to obtain, use, and share electronic information. This includes constructing and accessing electronic networks. Section 231(a) of the Act states its two main programmatic areas: electronic networking of various sorts, including resource sharing, and "targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities."

Section 231 further allows each state to apportion their LSTA funds between these two purposes to meet the needs of the individual state. Another important new provision is the inclusion of all types of libraries in LSTA. These funds are no longer reserved for public libraries alone. Section 212 of the LSTA states that one of the purposes of the Act is "to stimulate excellence and promote access to learning and information resources in all types of libraries for individuals of all ages." LSTA also allows for much smaller discretionary grant programs administered by the IMLS (see Table 2). The state-administered LSTA grant program began in FY 1998. The final state library agency plans for use of LSTA funds were due to the IMLS on August 1, 1997. Initial grant funds were disbursed on December 22, 1997.

Table 2: IMLS Library Grant Programs

NAME OF GRANT	1998 APPROPRIATION	GRANT TYPE
State-administered LSTA	$134 million	Formula
National Leadership Program	$5.5 million	Competitive
Native American Library Services Program	$2.5 million	Several components: some competitive, some formula
Native Hawaiian Library Services Program	$365,000	Several components: some competitive, some formula.

The history of federal support of public libraries clearly reflects general trends in intergovernmental relations. Despite this, there has been little research on how models of intergovernmental relations can be applied to libraries. To accomplish this,

one must first have an understanding of the development of the theories of intergovernmental relations.

Literature of Federalism

Federalism is at the heart of how government operates in the United States. The founders of our country brought together disparate colonies by promising them certain freedoms as states in the new nation. A federal government can be simply defined as "a union of states recognizing the sovereignty of a central authority while retaining certain residual powers of government" (American Heritage Dictionary 1985, 494). Nice and Fredericksen (1995, 3) define federalism as "a system of government that includes a national government and at least one level of subnational governments and that enables each level to make some significant decisions independently of the other(s)." This concept of federalism is vitally important in how our government programs are designed and operated. These definitions, while basically correct, do not fully portray the complex relations between levels of government in a federal system. The national and state governments are constantly struggling to define the limits of their powers. At various times in U.S. history, the national government has sought to accumulate more control for itself. At other times it has given power freely to the states. The states also seek power for themselves, often under the guise of "states' rights."

The literature of intergovernmental relations includes many models of how governments interact. Several of these are especially helpful in understanding the

LSTA process. Numerous authors describe these models (Wright 1988 and 1993, Dye 1992, Nice and Fredericksen 1995). A popular early characterization of U.S. federalism was the layer cake, with the layers symbolizing the federal and state governments and their functions (Nice and Fredericksen 1995, 6). This model, also known as dual federalism, portrayed the levels as totally separate, with clear boundaries and no overlap. Each level is supreme in its areas of responsibility. For example, the national government assumes all responsibility for defense and foreign affairs, and the states for education.

In 1960, Grodzins (1993, 57) suggested that a marble cake was a better image, with its blending of "different colored ingredients, the colors appearing in vertical and diagonal strands and unexpected whirls." This model suggests that the levels of government are not so separate after all. Funds move back and forth between levels, federal regulations affect state and local services, and officials at different levels work together to serve the citizens. Policy issues in any given area are addressed by multiple levels of government.

More recently, scholars have devised various alternate models. Nice and Fredericksen (1995) divide models into three categories: competitive, interdependent, and functional. Each of these groups contains several distinct models. The competitive models treat federalism as a "zero-sum game" (Nice and Fredericksen 1995, 5). There is a fixed amount of governmental authority available and it must be divided between the levels. There are several models of competitive federalism. In

nation-centered federalism, the national government has the majority of the power. In state-centered federalism, the opposite is true; the states have more power. An alternative is dual federalism, which "is a fairly accurate portrayal of the early years of our governmental system" (Nice and Fredericksen 1995, 6). This model corresponds to the layer cake discussed above. Each level of government has rights and responsibilities which are clearly divided. There is a clear problem with the basic conception that there is a finite amount of governmental power available, which makes these models less useful. It is certainly possible for all levels of government to gain power at the same time, or for one level to gain power without another losing power. However, the competitive models do point out areas where conflicts may occur between the levels.

The interdependent models of cooperative, creative, new, and row boat federalism are useful in analyzing library policy. These models are based on "sharing of power and responsibility, with the various participants often working toward shared goals" (Nice and Fredericksen 1995, 7). Cooperative federalism corresponds to Grodzins' marble cake federalism. It focuses on the importance of all levels of government working together. Together, they can accomplish more than separately. Creative federalism became a dominant model in the 1960s. It is distinguished from earlier models by its use of private sector and quasi-governmental agencies. During the period of the "Great Society," this model was used to encourage innovation in intergovernmental programs. New federalism suggest a partial return to the layer

cake approach. It asserts that the national government has become too large and intrusive, and more responsibilities must be returned to the states. The states and the national government must work together, but the national level should retreat back to its own layer of the cake, so to speak. This approach was advocated by recent Republican presidents Nixon, Ford, Reagan, and Bush (Nice and Fredericksen 1995). Finally, row boat federalism emphasizes the fact that all levels are part of the same system and will have interactions, whether they are cooperative or competitive. Taken together, these interdependent models emphasize the relationship between levels, and generally assume that the levels are working toward the same goals.

Functional models emphasize the vertical divisions between programs areas, rather than the levels of national, state, and local government. The picket fence model postulates that the bonds between bureaucrats and others concerned with a particular policy area, such as education, are more important than the allegiance to a particular level of government. These "pickets" are similar to the legislative "iron triangles" (Cann 1998, 56), replicated at the state and local levels (Walker 1995, 26). The bamboo fence model of federalism is a more moderate version of the picket fence model. Bamboo fence federalism allows for both horizontal and vertical bonds. Thus, the federal program administrator is open to influence both by national-level authorities and by lower-level program-specific interests.

Wright (1988, 1993) describes three models of intergovernmental relations in the United States: coordinate, inclusive, and overlapping-authority (See Figure 1).

His coordinate model posits totally separate spheres of influence for state and national governments, with local government totally controlled by the state level. The

Figure 1: Wright's Models of Federalism

inclusive model, on the other hand, focuses on the hierarchy between the three levels. The local level is totally controlled by the state, which is in turn totally controlled by the national. Wright advocated the third alternative, the overlapping-authority model, to describe federal/state/local relations in the 1980s. In this scheme, most areas of government are under the influence of two or more levels of government, with relatively small areas controlled by a single level.

A recent trend in intergovernmental relations is devolution, or returning more governmental powers to the states. Much has been written on this topic (Rivlin 1992, Nathan 1995, Peterson 1995, Anton 1997), and it is clearly a priority issue for the

U.S. Congress. Devolution includes the National Performance Review (NPR) and the movement known as "reinventing government." These programs seek to improve governmental management practices, including intergovernmental relations. They would allow state and local governments more freedom to act but would not remove federal oversight altogether. The Democrats, led by Vice-President Al Gore, introduced the NPR in the early 1990s. Regarding intergovernmental relations, the NPR specifically recommended several national level changes:

- Improve federal grant administration through simultaneous bottom-up and top-down initiatives;
- Cut red tape and eliminate roadblocks by allowing waivers of regulations that detract from accomplishing program objectives or interfere with effective service delivery;
- Simplify cost reimbursement procedures;
- Eliminate needless paperwork;
- Reinvent ACIR [Advisory Council on Intergovernmental Relations] and promote collaboration between the federal government and its state and local partners across federal policymaking and administration. (Office of the Vice President 1993, 4)

The Republicans, led by House Speaker Newt Gingrich, generally advocated more drastic devolution in their Contract with America in 1995 (Conlan 1998). They originally attempted dramatic consolidation of federal funding to states into block grants. The reforms ultimately passed were more moderate.

The new emphasis on block grants to the states allows formation of state-level spending priorities. Some fear that this will lead to a "race to the bottom" (Nathan 1995, 50), wherein states will reduce their spending on social programs in an effort to get those who need such services to leave the state. However, states may not choose

to take this route. They may use their new freedom to combine programs or create new social benefits. Scholars also disagree about which programs are most suited to devolution. Peterson (1995) believes that the national government should have control of redistributive functions: those which move resources from the rich to the needy. These include programs such as welfare, social security, and Medicaid. Developmental functions, which include the physical and social infrastructure of society, are best controlled by the state or local level. These programs include police, roads, and education. The national government may help pay for these functions through block grants.

In contrast, Rivlin (1992) proposes further devolution of many programs. She believes that "some of the policies needed to revitalize the American economy require bottom-up community effort" (Rivlin 1992, 11). These policy areas include education, crime prevention, and drug use control. She suggests giving total control of these programs to the states. To finance them, Rivlin proposes common shared taxes, such as a common sales tax for all states (Rivlin 1992, 127). This would eliminate competition between states for lower tax rates. If the total revenues were divided between states on a per capita basis, these revenues would also provide some distribution of wealth from richer to poorer states.

The literature of federalism and intergovernmental relations also describes how federal grants affect state and local spending and programming. Yoo and Wright (1993) examined changes in intergovernmental relations in the 1980s through the

study of subjective views of state level administrators. They discovered that these officials perceived a drop in national intrusiveness from 1974 to 1988. They suggest that this drop may have been caused by institutional/policy factors, by rhetorical/perception shifts, or some combination of the two. This change in general federal policy is reflected in the new requirements of the LSTA. Fiscal and program reporting is radically reduced, and the states have much more flexibility in how they spend their money. Stotsky (1991) designed a mathematical model which accounts for the varying effects of different types of federal grants. She demonstrates how increases in state income (including grants) will increase spending and tax revenues. Derthick (1993) takes a different approach in describing how grants give the national government power over the states. The national government can use the state agency as an ally and power-broker, which has happened with LSTA in the case of state libraries. The state and national agencies come to rely on each other for support, a process which has begun to occur with LSTA, and continues to increase.

Intergovernmental Relations in Substantive Policy Areas

In addition to the many general models presented above, the literature of federalism contains numerous case studies in substantive policy areas. Some of these studies cover the areas of health care (Rich and White 1996, Anton 1997, McFarlane and Meier 1998), welfare programs (Derthick 1970, McClintock and Colosi 1998, Stoker and Wilson 1998), and the environment (Manley 1987, Fitzgerald et al. 1988, Tobin 1992, Wise and O'Leary 1997). Notably absent from the intergovernmental

case studies is any serious examination of libraries. There are many news articles about LSTA/LSCA (Ewick 1995, Berry 1996, Kniffel 1996, Lederman 1996, Frankel 1998a), but few research articles. Fuller (1994) analyzes the budgetary politics of LSCA during the Reagan and Bush years. He concludes that Congressional and library support for the program kept it alive despite presidential opposition. The American Library Association's (ALA) strong support for federal library programs is cited as an important factor. Raber (1995) makes similar points in his description of the origins of the Library Services Act in the 1950s. The recent news articles cited above demonstrate that the ALA still supports federal aid to libraries strongly, and takes a leadership role in lobbying for federal programs.

Because of the lack of research on intergovernmental relations and libraries, examination of the research in other policy areas are helpful. Health care, welfare, and environmental policy are also fields in which national, state, and local governments interact. A number of grant programs of various types have been used by the national government to direct funds to the states. Many researchers have studied aspects of this topic. Some of these analyses can help us understand intergovernmental relations as it affects libraries. Rich and White (1996) describe possible increases in state responsibility for making health care policy. After presenting several models for future relationships between the national and state governments in this area, cooperative federalism is offered as the most promising. All levels will work together, each focusing on the areas at which they are best able to

act. The national government should retain roles such as setting minimum national standards for care and collecting national statistics. States should be allowed more freedom to experiment with alternative programs. Of course, this model is based on the premise that the states want to take a more active role in the health care process. States wanted to set policy, but were not interested in sharing increased fiscal responsibility for health care (Rich and White 1996, 294). The national government will likely still pay for a large portion of these programs.

McFarlane and Meier (1998) examine whether a health care program's impact changes when different types of grants are used. In the case of family planning programs, it was determined that categorical grants were most cost effective in getting the desired results. Entitlements were next most effective, and block grants were least effective. McFarlane's study was based on Mazmanian and Sabatier's (1983) theories of policy implementation, specifically the importance of statutory coherence. Their model includes seven conditions which legislation must address for successful implementation, namely "1) clear and consistent objectives; 2) incorporation of adequate causal theory; 3) initial allocation of financial resources; 4) hierarchical integration within and among implementing institutions; 5) decision rules of implementing agencies; 6) recruitment of implementing officials; and 7) formal access by outsiders" (Mazmanian 1983, 22). A full analysis of LSTA according to these standards is beyond the scope of this study; suffice it to say that each of these criteria is important in creating a successful program. McFarlane and Meier

emphasize their conclusion that government programs do produce results, and that more tightly constructed grant programs produce the most cost effective results.

Anton (1997) presents an overview of recent trends in intergovernmental relations and how these trends may affect health care policy. Once again, devolution is portrayed as an important influence. State and local governments have grown in the recent past. In 1960, state government employees comprised 1.5 percent and local government employees 4.9 percent of all employees in the United States. By 1992, state employees had grown to 4.6 percent and local employees to 11.1 percent of the total number of employees in the country. This represents a 73 percent increase at the state level and a 58 percent increase at the local level. In contrast, federal employees increased only 20 percent as a percentage of all employees, from 2.4 percent in 1960 to 3.0 percent in 1992 (Cozzetto et al. 1996, 2). Anton emphasizes that the states cannot take full responsibility for health care policy making and provision, mostly because of their fiscal constraints. However, Anton notes that the states "are the leading participants in shaping future health care and welfare policy" (Anton 1997, 715). He also points out that, as responsibility for policy creation devolves to the states, "differences among state health care systems are increasing" (Anton 1997, 716). This allows increased responsiveness to local needs and priorities. Anton cites statistics which clearly show the current variation in AFDC and Medicaid benefits to recipients in different states. He concludes that the states are now willing and able to design and implement health care policies and programs, and that the national

government is willing to give the states more freedom while continuing to supply funds for these programs.

In some ways, this research on health care policy can be applied to library services. The growth in state and local governments allows health officials to take on more responsibilities in determining local needs and providing services. This is applicable to libraries as well as to other program areas. The trend toward devolution also applies. There is general pressure at the national level to devolve library programs to the states.

Despite the similarities, there are also important differences between library services and health care. Public libraries are mainly funded by local sources, with some additional state and federal money. Thus, the locus of control has been and will continue to be local. This can be assumed to encourage programs which address local needs and priorities. There are no nationally-mandated standards for public libraries. Neither are library services viewed as a necessity in the same way as health care. Many areas of the U.S. still have no public library services, even after forty years of federal grants. Thus while federal grant programs encourage intergovernmental relations with respect to libraries, state and local governments still bear most of the load of paying for and providing library services.

Applications to LSTA

Of the interdependent models of federalism, the cooperative approach is expected to best describe the various actors in the LSTA process. Each partner has a

role, and all work together in meeting the needs of citizens. The federal, state, and local governments work together to create new solutions to library problems. Congress has created general guidelines for how LSTA funds should be spent, and the IMLS is expected to play a facilitative role in helping states interpret these guidelines and design their programs. All parties involved want the programs to succeed. However, concepts from new federalism may also play a part. The reduced emphasis on specific federal targets and the decrease in required reporting free the states somewhat from national controls. They may feel that they have more leeway in designing programs and allocating funds than they did under LSCA.

Walker's (1995) bamboo fence model also helps us understand LSTA and the agencies involved. Librarians at the federal, state, and local levels have great loyalty to their profession. They work together closely, and in conjunction with their professional organizations such as the American Library Association, to provide the services that their profession considers essential. In using the bamboo fence model to describe LSTA, I expect that librarians will sometimes disagree with general policy makers at their own level of government. In fact, they are often at odds with their government unit in terms of spending priorities. This lack of horizontal integration may have been a factor in moving library programs out of the U.S. Department of Education. This large agency preferred to focus on other aspects of education, and did not make libraries a vital part of its mission. The same situation seems to be repeated in many state governments. However, the library agencies also show loyalty

to their own level of government. IMLS staff respond to federal government priorities in many ways. State libraries work with their legislatures to obtain state funding for libraries. Many changes to LSTA reporting and monitoring procedures are the result of a general national-level emphasis on making grant administration easier at the state level. The move to give the states more power in determining use of LSTA funds came from the general move to devolution.

Wright's (1988, 1993) overlapping-authority model is also applicable in the case of LSTA; each actor is responsible for certain aspects, but no actor has total control. A bargaining process takes place between the federal and the state actors to get the funds, and then between the state and the local actors for further distribution. Public libraries are chiefly run by local governments, but the LSTA program brings state and federal actors into the process of delivering library services.

Several researchers focus on devolution. In Peterson's model (1995), libraries are clearly a developmental function. As such, they should be controlled by state/local government. The national government may contribute by block grants. This is not too far from the actual condition of LSTA. Public libraries are run by local governments. LSTA is a formula grant, given to each state on the basis of its population and poverty rate. Some of the funds are spent at the state level for state-wide programs, and some at the local level. In Rivlin's (1992) model, the LSTA program would surely cease to exist. Responsibility for support and development of library programs would devolve to the states, which would then choose how to fund

their libraries. This situation would doubtless make many librarians unhappy, as state and local governments have a history of underfunding libraries.

The next chapter describes the purposes of this study, and its hypotheses and expected findings. In this context, the intent of LSTA is presented, along with a discussion of how to assess whether its goals are being met.

RESEARCH QUESTIONS AND EXPECTED FINDINGS

The federal government funds libraries for several reasons. Foremost is the concern for equity of access. The U.S. National Commission on Libraries and Information Science (NCLIS) states as its own goal "equal opportunity of access to information for all citizens" (U.S. National Commission on Libraries and Information Science 1994, 3, hereafter NCLIS). The Library Services and Technology Act (LSTA) provides funds to libraries in all U.S. states and territories to help achieve this equity. Because LSTA requires matching funds from the states, it encourages states to spend money on libraries. The state governments often require local governments to provide matching funds for individual grants as well. As a result, "federal money has stimulated local support for construction, technology, continuing education, and collections" (NCLIS 1994, 7). This federal grant program also includes maintenance-of-effort provisions. These provisions require that states maintain funding to library programs each year. If they do not, the federal funds will be withheld. For example, if a state suddenly decreased its statewide appropriations to library programs, the federal government could withhold grant funds. This has occurred occasionally in the past.

While LSTA continues the tradition of federal library spending which began with the Library Services Act in 1956, it also differs from previous programs, as described in the previous chapter. As the name change implies, the LSTA has a new focus. With this new law, Congress is directing libraries to change how they spend

these funds. The new intent is to support library access to electronic information, including the Internet. Funds are no longer to be used for construction or remodeling of library buildings. Another change is that all types of libraries are included in the program. Under the Library Services and Construction Act (LSCA), the emphasis was on public libraries only. Beginning in 1998, under LSTA, school, academic, and special libraries are also eligible to use these funds. Some aspects of LSCA remain, as evidenced by the continued emphasis on services to the underserved.

The structure of the grant program has also changed. These changes follow the general move of the federal government toward devolution, or returning power to the states (Nathan 1995, Conlan 1998). With the move of LSTA administration from the Department of Education to the IMLS, a new administrative philosophy has developed. The IMLS has a greatly reduced oversight role. In fact, they are giving the states more power to determine spending priorities and to develop unique programs. A detailed project report is required of states only at the end of the five year cycle, rather than every year as was previously mandated. The IMLS intends to give the states more freedom to design programs which will benefit their residents. In a June 26 1998 interview, IMLS manager Jane Heiser expressed a commitment to this new philosophy. The IMLS has placed a page limit on the length of LSTA reports. They intend to keep required reporting to a minimum. As announced at the annual LSTA Update session at the American Library Association Conference, held on June 28 1998, the IMLS is also allowing states to keep whatever statistics state officials

identify as most useful, rather than demanding uniform statistics on LSTA projects. In turn, the states must be willing to take on more responsibility (Nice and Fredericksen 1995, 23). In the struggle between flexibility and uniformity, the IMLS is moving toward allowing more flexibility in state action. The IMLS is also asking for input from the states. IMLS staff worked with state libraries to develop the LSTA annual report format, rather than imposing it on them.

This study investigates the question of how the states are handling these changes to the federal grant program. The research period encompasses most of 1998, a time during which these programs are in transition. At the time of this research, states had submitted five year plans for LSTA, and were in the process of implementing them. They were spending their first year's grant of LSTA funds, which were allotted in December 1997. Several areas of this transition are of particular interest, and this research seeks to answer several questions.

The first set of research questions focuses on how the states are using LSTA funds. More specifically, do their spending practices reflect the changes in national priorities? It may be difficult for states to redesign their library spending programs quickly. They may have to make difficult choices, and either phase out existing programs or fund them from other sources. How have their programs changed? Do the states see LSTA as an improvement over LSCA? Are the states serving all types of libraries with LSTA funds, or are they continuing their prior emphasis on public libraries? I expect that states have arranged their priorities so that most of their

previous LSCA programs will continue, with the possible exception of construction. They will continue to provide services to the underserved. Most states are expected to eagerly embrace the increased emphasis on library technology and to use LSTA funds to promote its use.

The second set of research questions examines how the transition from administration by the Department of Education to the IMLS has affected the states. Is the IMLS doing a good job? Has moving this program helped state and local libraries? I predict that the IMLS will be perceived as doing a better job than the Department of Education. In this new and much smaller agency, libraries will be at the top of the agenda. LSTA is the largest grant program the IMLS administers and, as such, it will be very important to the entire organization. Although most of the IMLS's library staff came from the Department of Education, they may feel more important at the IMLS. They may also have more freedom to deal with problems quickly and effectively, providing better service to the states. In response to the findings from this component of the research, the researcher will suggest possible improvements to the process.

Finally, the LSTA program is analyzed using some of the many models of intergovernmental relations presented in Chapter 2. This process places library grant programs within the larger framework of intergovernmental relations in the United States. The fundamental question is what model or models best capture the current status of intergovernmental relations for implementation of LSTA. This analysis will

enable librarians and administrators to better understand the LSTA grant process and how the different levels of government interact within the process. These insights will help actors at each level to understand and work within their own role, and to see how actors at the other levels have defined their roles and responsibilities as well. Changes in the program allow the states more freedom and flexibility, and this will change the relationships between the actors involved. It will also affect the extent of uniformity among LSTA programs (Nice and Fredericksen 1995, 225). Application of these models will show librarians, especially at the state and local level, the extent to which this is a cooperative process rather than an adversarial one.

The following chapter details how this research on the LSTA process was conducted. The methods used for conducting the survey and the case study research are justified. Aspects of data collection are discussed. The methods of analysis used are also described.

METHODOLOGY

As stated in the previous chapters, the Library Services and Technology Act (LSTA) was intended in part to change how state libraries use federal grant funds. Congressional intent was for these funds to be redirected from construction and building of physical collections to the creation of the technological infrastructure necessary for libraries to provide access to electronic information. LSTA also expands the scope of the grant program to include all libraries, not just public libraries. However, LSTA also gives the states new freedom to design and manage their LSTA programs with less reporting and fewer regulations. In order to better understand how the states are handling these changes, a two-pronged research method was chosen. The application of multiple data collection methods allows for greater understanding by letting the researcher look at the data in several different ways . (Strauss and Corbin 1990, 18). First, a survey was conducted of all 50 states, Puerto Rico, and the District of Columbia using a mailed questionnaire. Several states were then selected for detailed case studies, as described below. Staff at the IMLS were also interviewed. This chapter outlines the research strategy, explains the methods used, and describes the qualitative and quantitative analyses performed on the results.

Survey

A survey is a widely-accepted method for eliciting information from a group of respondents. In this study, quantitative and qualitative data from all states was

desired. A mailed questionnaire was determined to be the appropriate method for collecting this data (Salant and Dillman 1994, Fink 1995, Frankfort-Nachmias and Nachmias 1996). A mailed questionnaire accommodated several aspects of this research. It allowed accessibility to data from all the states by using the mail to cover wide geographic distances (Bourque and Fielder 1995, 10). It was relatively inexpensive to conduct (Frankfort-Nachmias and Nachmias 1996, 225). Respondents were also able to consult their records at their leisure to obtain necessary information for completing the questionnaire.

Several problems of mailed questionnaires, such as lack of control over who receives the survey, noncoverage, and nonresponse, were overcome by circumstances of the research. Because a current list of the state LSTA coordinators was obtained from the IMLS, the researcher had good control over who received the questionnaire (Salant and Dillman 1994, 37). With the small and accessible survey group of just 52 LSTA coordinators, follow-ups were easy to conduct and a high response rate was anticipated. As a group, the respondents were anticipated to be well educated and familiar with the programs discussed in the survey (Bourque and Fielder 1995, 15). The questionnaire allowed for open-ended comments, and asked each respondent whether they would be willing to participate in an interview on LSTA. The case study interviews were planned to fill in detailed information unavailable from the surveys.

The questionnaire was designed to elicit specific data about each state's LSCA and LSTA programs (see Appendix A for sample questionnaire). Basic factual information was requested, such as amounts of recent LSCA and LSTA grants, number of staff members at the state library, and number of public libraries in the state. A closed-ended format was used for these questions.

Another series of questions asked for details about the state's LSTA as compared to previous LSCA plans. These questions were structured as a matrix (see Appendix A, question 5), allowing the respondent to pick the level of emphasis in each of a number of library program areas. A related question asked if they foresaw more changes in the same program areas. A matrix structure was also used for reporting the responses of public libraries to the state LSTA plan, for assessing the importance of library technology to various groups in the state, and for asking how the respondent sees their own position in the LSTA process. Finally, several questions focused on the IMLS. These questions were designed to elicit opinions on whether the IMLS is different from the former administering agency of LSCA, and if so how. A matrix question structure was again used, allowing respondents to rate the IMLS in several areas of performance and to give their overall opinion. At the end of the questionnaire, respondents were asked to provide their name and address. Space was provided for additional comments.

The questionnaire was designed to be completed by each state's designated LSTA coordinator. That person has the most complete knowledge of the state's

LSTA plan and programs. A list of these coordinators was obtained from the IMLS. The first mailing of the survey went out to the fifty states, Puerto Rico, and the District of Columbia on May 12, 1998. Several follow-ups were conducted to increase the response rate (Frankfort-Nachmias and Nachmias 1996). The first follow-up contacts were made June 1, 1998. Electronic mail was used to contact all state coordinators who had not responded by that date. If electronic mail messages were returned or no electronic mail address was available, another copy of the survey was mailed with a reminder letter. On June 15, 1998, another copy of the survey was mailed to the 15 coordinators who had not either returned the survey or indicated that they would do so soon. A final electronic mail reminder was sent at the beginning of August. Almost all of the 52 participants either completed the questionnaire or responded that they were unable or unwilling to do so for some reason. A total of 46 responses were received, representing a response rate of 88 percent. This is considerably better than the 72.4% average cumulative response rate for a survey with four follow-ups (Frankfort-Nachmias and Nachmias 1996, 230), and well above one recommended minimum response rate of 60 to 70 percent (Salant and Dillman 1994, 22). Table 3 presents a summary of which state coordinators responded, whether they included additional written comments, and their willingness to participate in a follow-up interview.

Table 3: Summary of State Coordinator Responses

STATE	RETURNED SURVEY	ADDITIONAL COMMENTS	WILLING TO BE INTERVIEWED
Alabama	X		
Alaska	X		X
Arizona	X		X
Arkansas	X	X	X
California	X		
Colorado	X		X
Connecticut	X		
Delaware	X		X
District of Columbia	X		
Florida	X		X
Georgia			
Hawaii	X		X
Idaho			
Illinois	X	X	X
Indiana	X		
Iowa	X		X
Kansas	X	X	X
Kentucky	X		
Louisiana	X		
Maine			
Maryland	X		X
Massachusetts	X		X
Michigan			
Minnesota	X		
Mississippi	X	X	X
Missouri			
Montana	X		X
Nebraska	X		
Nevada	X		X
New Hampshire	X		
New Jersey	X		
New Mexico	X		X
New York			
North Carolina	X	X	X
North Dakota	X	X	X
Ohio	X	X	X
Oklahoma	X		
Oregon	X		X
Pennsylvania	X		X
Puerto Rico	X	X	X
Rhode Island	X	X	X
South Carolina	X		
South Dakota			
Tennessee	X		
Texas	X		X
Utah	X		X
Vermont	X		
Virginia	X		X
Washington	X		X
West Virginia	X		X
Wisconsin	X	X	X
Wyoming	X		X
Unknown state *	X		

N=46*

* One response was received for which the state could not be identified. Data from this response was included in the general descriptive statistics but omitted from the analyses which required other state data.

Additional data was collected to supplement the survey results. State-level variables which were gathered included, among others, population, population density, percentage of population in poverty, and per capita library spending. Table 4 provides a full description of these variables and their sources. These variables were selected to control for their possible influence on how library funds are distributed and spent. For example, a state with higher population density may have less need for centralized state library services than a state with lower population density, because local library facilities are closer to the individual citizens. None of the state data was available for 1998; figures are from the most recent date available.

Table 4: Additional State-level Variables

VARIABLE	SOURCE
•Population, 1996 •Population per square mile, 1996 •Percent urban population, 1990	*Statistical Abstract of the United States*, 1997
•State and local education spending per capita, 1993 •Federal aid per dollar of state tax revenue, 1994 •State and local tax revenue per capita, 1993 •Public library holdings per capita, 1993 •Population in poverty, 1996 •Total library spending per capita, 1993 •Percentage of population over 65, 1996 •Percentage of population under 18, 1996 •Percentage of population African American, 1994 •Percentage of population Hispanic, 1994	*CQ State Fact Finder*, 1997 and 1998 editions

The SPSS statistical software, version 8.0, was used to collate and analyze the survey results. Descriptive statistics are presented in the findings section of this thesis. This includes graphical representations of the findings. Selected survey items are also correlated with the added variables. These items serve as independent variables in the analysis. Appropriate correlations for the levels of measurement of the variables are used, including Pearson's r, chi square, and one-way analysis of variance. In an attempt to discover associations between use of technology and other factors, the four technology-related factors of survey question 5 (see Appendix A) were combined by adding the score on each factor. The factors included were a state's priority on: the Internet, buying computer hardware, networking infrastructure, and computer training. This new variable TECHTOT measures how much overall increase in technology emphasis was found in each state's LSTA plan. The three non-technology-related factors (increasing access to the underserved, improving literacy, and buying library materials) were combined in the same way, to form a new variable (NTECHTOT) measuring the change in emphasis on non-technology-related programs. The variable which measured library cooperation was not included in either index because it could describe programs of either type. These two new variables were tested against all variables in the data set using Spearman's rank order correlation. Statistically significant correlations are reported and interpreted in the findings section.

Case Studies

To obtain more detailed information about selected states and their LSTA programs, an interview approach was chosen. This type of qualitative research has a long history; it has been used in the social sciences for over a hundred years (Tesch 1990, 9). For this research project, interviews provide a more complete picture than the questionnaire results, albeit for a few selected states. Study and analysis of selected documents was also included to provide information about the state libraries, their goals and objectives, and their individual LSTA plans. Analysis of written documents is an accepted part of qualitative analysis, providing detailed organizational information as well as confirmation of interview findings (Strauss and Corbin 1990, 55). Miles and Huberman (1994) describe a number of types of qualitative analysis. The method this research uses is the case study. Tesch (1990, 29) defines the case study as "an unstructured and non-quantitative approach using personal documents." These case studies give a more detailed picture of the individual states, the problems they face, and how they have chosen to implement LSTA. By choosing states which differ in several important ways, such as population and percentage of LSTA funds distributed to local libraries, the case studies allow the researcher to probe more deeply into these differences and their possible causes. These in-depth case studies also allow a more thorough examination of how the models of intergovernmental relations may apply to the LSTA program in each state.

Prior to the case study research, interviews were conducted with two staff members of the IMLS. These interviews were designed to gather additional information about the transition from LSCA to LSTA, current implementation of LSTA, and possible problem areas of LSTA. Prepared questions were asked of the interviewees. A meeting of state LSTA coordinators and IMLS staff was also observed. Descriptions of these events are reported with the case study findings.

Several criteria were used to select states for participation in the case study phase of this research. First, the LSTA coordinator had to be willing to participate in an interview. A question was included on the survey questionnaire asking whether the respondent would do this. A total of 30 respondents (65 percent) indicated that they were willing to be interviewed. Second, the physical location and personal interests of the researcher played a role in the selection process. New Mexico and Arizona were obvious choices for these reasons. Finally, states were selected to represent some variation on one of the key variables of interest. After examining questionnaire results, one of the most interesting variations among states was the difference in the percentage of LSTA funds distributed to local libraries. The results indicated that 36.4 percent of states give out 30 percent or less, while 27.3 percent give out 31 to 60 percent and 22.7 percent give out more than 60 percent. States were selected for the case studies to represent different percentages of LSTA funds distributed. New Mexico distributes 15 percent or less. Arizona's LSTA coordinator did not answer the question on the survey, although they later indicated that they

normally distribute about 65 percent of the funds. Texas was selected as an example of a larger state which distributes a large share of its LSTA funds to local libraries. Finally, Massachusetts was selected as the fourth case study. It is located in a different region of the U.S., where there may be some different concerns and priorities for libraries. Massachusetts distributes 46 to 60 percent of its LSTA allocation to local libraries.

The state libraries of Arizona and New Mexico were visited in person, as was the State Board of Library Commissioners in Massachusetts. The Texas case study was conducted using electronic mail and telephone because a site visit was not possible. The researcher spent an average of two hours with each informant. Copies of LSTA documentation for each state were also obtained and reviewed. These included the five year LSTA plan in all cases. Other written documentation included plans for other federal and state grants, descriptions of individual LSTA projects being conducted at local libraries, and organizational information about the state library. A series of standard questions was prepared for the interviews (see Appendix B). Informants were also encouraged to describe any other aspects of their LSTA program they felt were important. These interviews gave the researcher the opportunity to see the real-life operations of the LSTA program. These state and local programs are the results of all the federal legislation and regulation. This qualitative research provided a richness of detail not available from the questionnaire because of length limitations. The researcher learned of many individual local

programs started with LSTA funds, as well as statewide initiatives to start new public libraries and to provide new services such as Internet access.

Data collected from the surveys and in-depth interviews is presented in the next chapter. Following an overview of the survey results and analysis of state level data, the state LSTA plans are summarized and answers of the LSTA coordinator to the prepared questions are discussed. Results from each state are then compared and contrasted, with special reference to the transition from LSCA and to the two areas which have been previously suggested as problems: expansion of programs to include all types of libraries and enhanced emphasis on technology. Innovative programs in particular states are highlighted, as are possible problem areas which stand out. Differences between the state programs are presented and discussed.

FINDINGS

This chapter presents the results of the survey and the case studies. It also includes a report of interviews with staff of the IMLS. First, descriptive statistics summarizing the survey results are given. Following that, correlative analyses between survey data and other state level data are reported. Finally, case studies of the Library Services and Technology Act (LSTA) program in Arizona, New Mexico, Texas, and Massachusetts are reported. These case studies include analysis of each state's program using the models of intergovernmental relations described in Chapter Two.

Survey Results

The survey was designed to collect data about LSTA and how it is used by state libraries. The survey attempts to elicit an assessment of the new LSTA program relative to the Library Services and Construction Act (LSCA). It also asks the respondents to compare the new administering agency to the old one. This information can help determine whether the changes in the intent of the legislation are reflected in actions in the states. The resulting data set was analyzed using the SPSS software program. Descriptive statistics are presented for the entire survey, including charts and graphs for selected items. Statistical tests are then performed on selected pairs of variables to assess the strength of correlations. The analysis focuses on items for which there was variation among the states, such as percentage of LSTA funds

distributed to local libraries. Appropriate tests, such as one-way analysis of variance and Pearson's r, are used to determine if there are statistically significant correlations.

Descriptive Statistics

One of the interesting results was the percentage of LSTA/LSCA funds distributed to local libraries (see Figure 2). Less than 30 percent of the funds are distributed in 36.4 percent of states, meaning that slightly more than a third of the responding states keep the majority of LSTA funds for the use of the state library or projects run by the state library. However, 27.3 percent of the states distribute between 31 percent and 60 percent, and 22.7 percent distribute more that 60 percent. This result indicates that the IMLS allows considerable flexibility to states on how they allocate their LSTA funds. Some states seem to prefer to keep state control over LSTA funds, spending them at the state level to run programs directly from the state library. Other states give most of the funds to local libraries for a variety of programs.

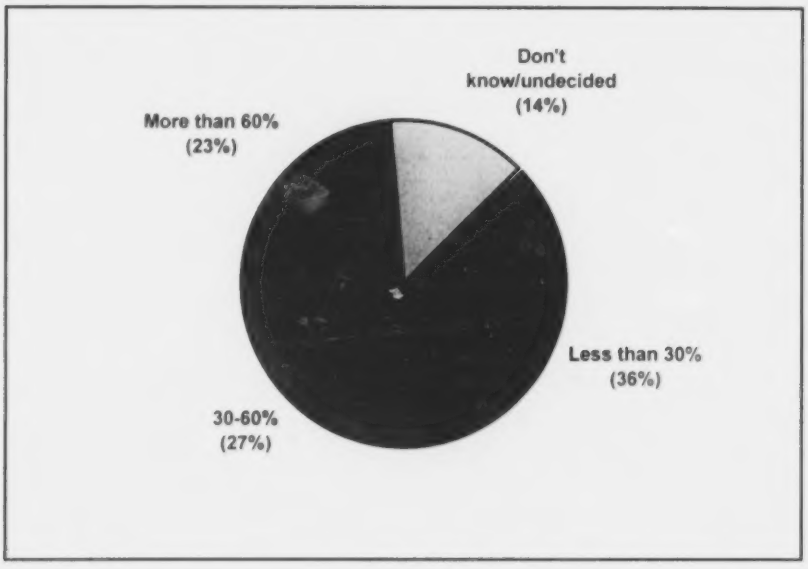

Figure 2: Percentage of LSTA funds distributed to local libraries

The survey included a series of questions about how the state's LSTA plan is different from previous LSCA plans. Respondents were asked about their LSTA plan's level of emphasis on various areas: library cooperation, services for the underserved, literacy, Internet access and use, buying computer hardware, buying library materials, networking infrastructure, and computer training. These can be divided into two groups: computer-related and non-computer-related items. In general, respondents perceive increased emphasis on computer-related topics (see Figure 3). A total of 79.5 percent see increased emphasis on Internet, 71.3 percent on computer training, 65.2 percent on networking infrastructure, and 63 percent on buying computer hardware. Non-computer-related items show more variability, although some also show an increase in emphasis (see Figure 4). In this area, 67.4

percent see an increased emphasis on library cooperation, but only 23.9 percent on services for the underserved, 8.9 percent on literacy, and 4.4 percent on buying library materials. These results are consistent with LSTA's emphasis on building a technological information infrastructure. For some non-computer-related items, a number of respondents report less emphasis: 48.9 less percent for buying library materials, 21.7 percent for the underserved, and 21.1 percent for literacy. Only 24.4 percent expect more changes to LSTA in the near future; 75.6 percent think that LSTA will remain the same, or are unsure about its future.

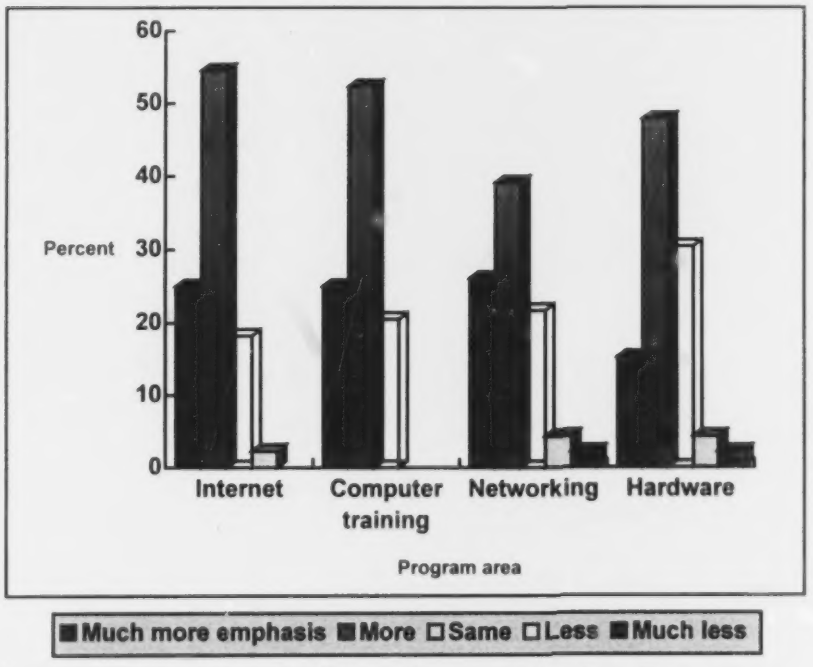

Figure 3: Changes from LSCA to LSTA: Technology Programs

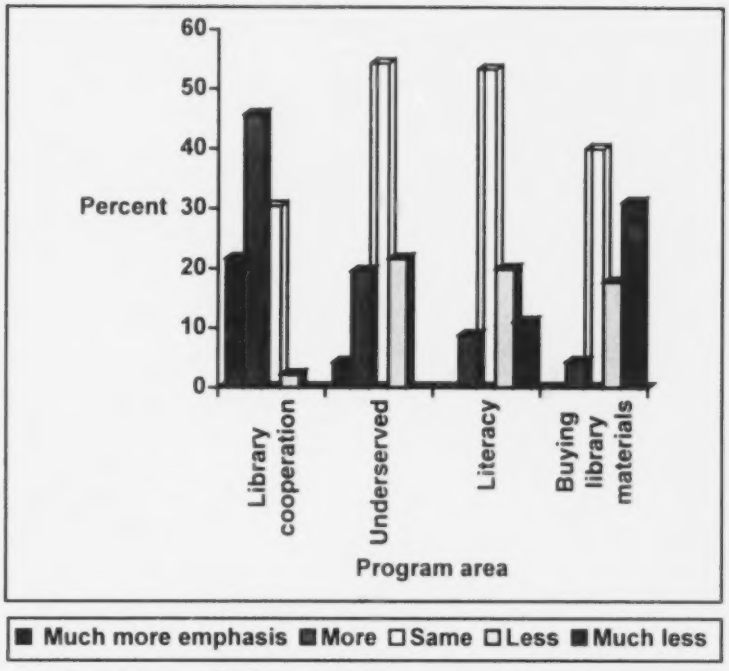

Figure 4: Changes from LSCA to LSTA: Non-technology Programs

Public libraries in the states are generally supportive of the changes reflected in LSTA (see Figure 5). Fully 82.6 percent of the respondents indicated favorable or strongly favorable reactions from their local libraries to the new emphasis on technology. Of public libraries in the states, 65.2 percent are pleased (favorable or strongly favorable) with the amount of LSTA funds available, and 46.7 percent of respondents report that their state's public libraries are pleased with the imposition of federal library priorities on the state, while 53.4 percent have mixed opinions or do not like this. LSTA coordinators also report that 84.8 percent have received at least favorable responses from public libraries about the state LSTA plan, and that 63.6 percent report no obstacles to use of LSTA funds for library technology in their state.

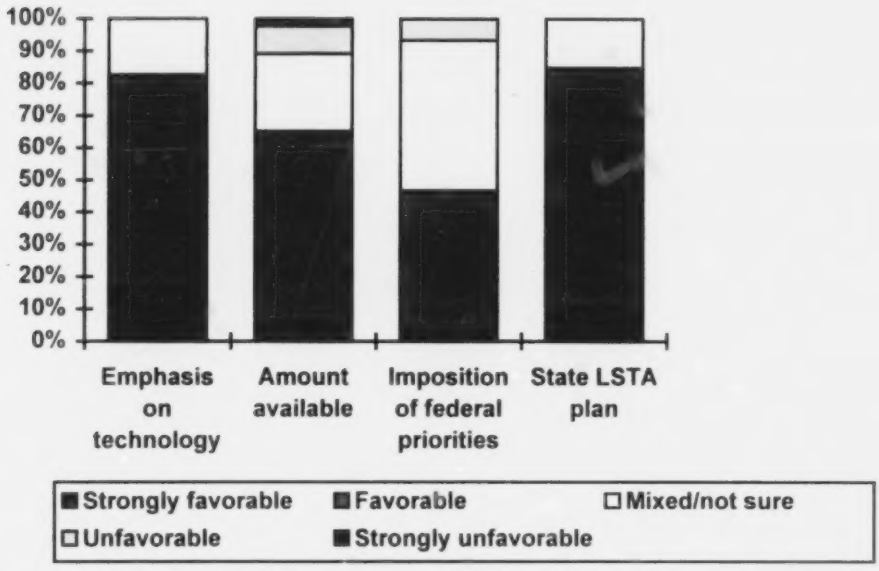

Figure 5: Local Libraries' Responses to LSTA

In another series of questions, respondents were asked to give their opinions on how important library technology is to various groups in their state. The specific groups of interest were: the respondent, public librarians, all librarians, the state library, the state legislature, the governor, and the general public. Importance was ranked on a 5 point scale, from "vital" to "not at all important" (see Figure 6). In no instance did any respondent select "not at all important". State libraries are perceived to have the greatest stake in library technology, as indicated by the highest number of vital scores (54.3 percent). For themselves, 31.9 percent of the respondents ranked library technology as vital, while another 52.2 percent indicated it was very important. Library technology was seen as at least somewhat important to all groups: 100 percent of respondents personally, 100 percent of public librarians, 95.7 percent

of librarians in general, 100 percent of state libraries, 89.1 percent of state legislatures, 77.8 percent of governors, and 87.0 percent of the general public.

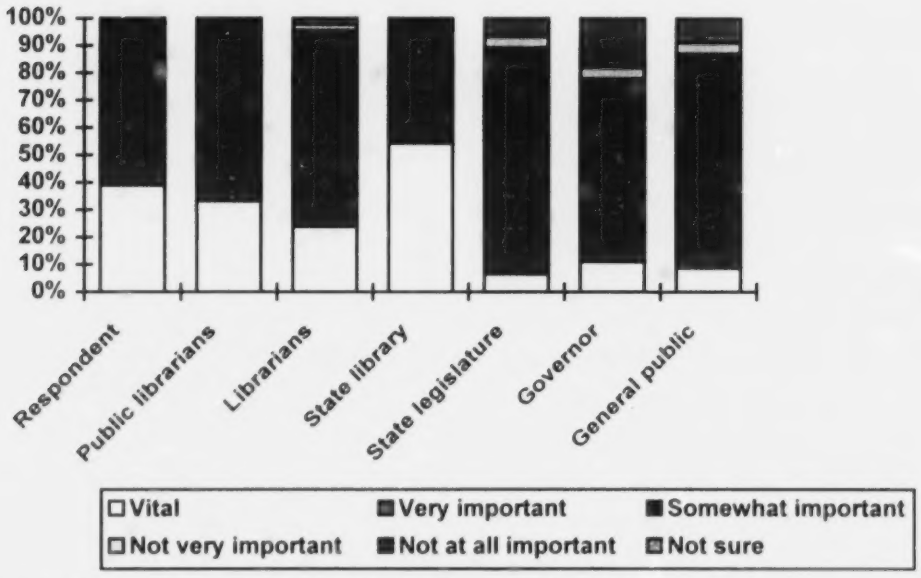

Figure 6: Importance of Library Technology in the State

Respondents compared the IMLS favorably to the Office of Library Programs (OLP) of the U.S. Department of Education, the former administrator of LSCA programs (see Figure 7). A majority (75.9 percent) felt that the IMLS was easier to work with, while less than one quarter (24.4 percent) felt that the two agencies were the same. No respondents thought that the IMLS was more difficult to work with. Several respondents commented that they were not able to make a comparison at this time because they had not yet been working with the IMLS for long enough. When asked about specific aspects of working with the IMLS, the greatest number of respondents saw the reduced amount of paperwork as an improvement: 92.7 percent

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said that the IMLS was better in this area (see Figure 8). In other specific areas, 25 percent thought that the IMLS was better at responding to requests, while 72.5 percent felt it was the same and 2.5 percent worse. Some respondents (25.6 percent) felt that the staff of the IMLS was more helpful than that of the OLP, while 71.8 percent felt it was the same and only 2.6 percent rated it as worse. Dissemination of information showed the least improvement: 17.1 percent of respondents believe that the IMLS is better in this area, 70.7 percent the same, and 12.2 percent worse.

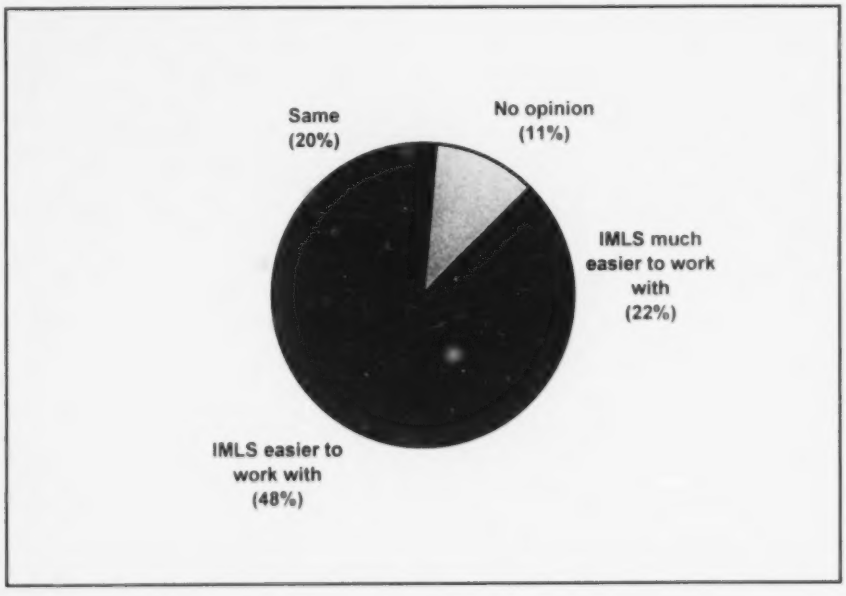

Figure 7: General Comparison of the IMLS to the OLP (% of respondents)

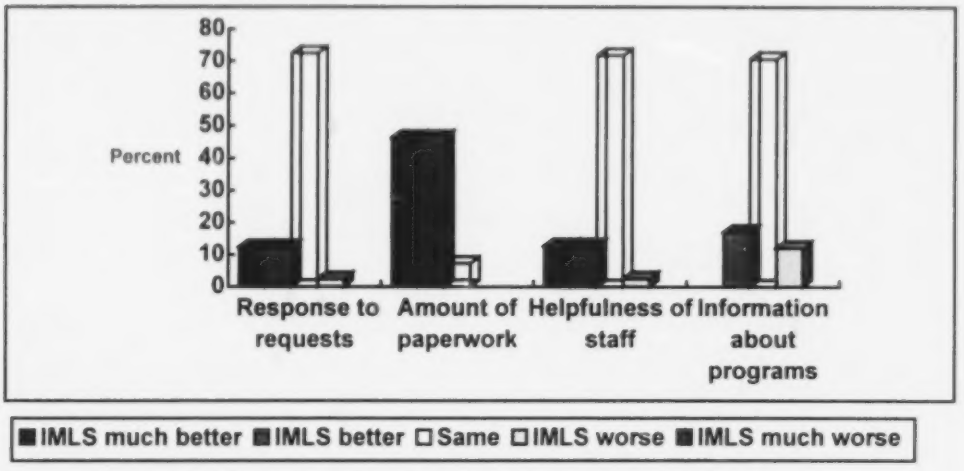

Figure 8: How the IMLS Compares to the OLP in Specific Areas

The next group of questions asked respondents to share how they view themselves in their roles as LSTA coordinators. Different ways of characterizing this role were presented, and respondents were asked how well they felt this portrayal fit their view. The roles presented were: enforcer of federal rules, planner for statewide programs, developer of new programs, supporter of local libraries, and intermediary between levels of government. These categories were not intended to be mutually exclusive. In general, most respondents agreed with most roles (see Figure 9). The role with the most variation in responses was enforcer of federal rules. Only 60 percent agreed that it applied to them, 20 percent were not sure, and 20 percent felt it did not apply. This may reflect ambivalence about the role of the federal government in state and local affairs. Just 69.6 percent of respondents agree that they see themselves as intermediaries between levels of government, while 19.6 percent were not sure and 10.9 percent disagreed. For the other roles, agreement was greater: 93.3

percent see themselves as planners for statewide programs, 93.5 percent as supporters of local libraries, and 82.6 percent as developers of new programs.

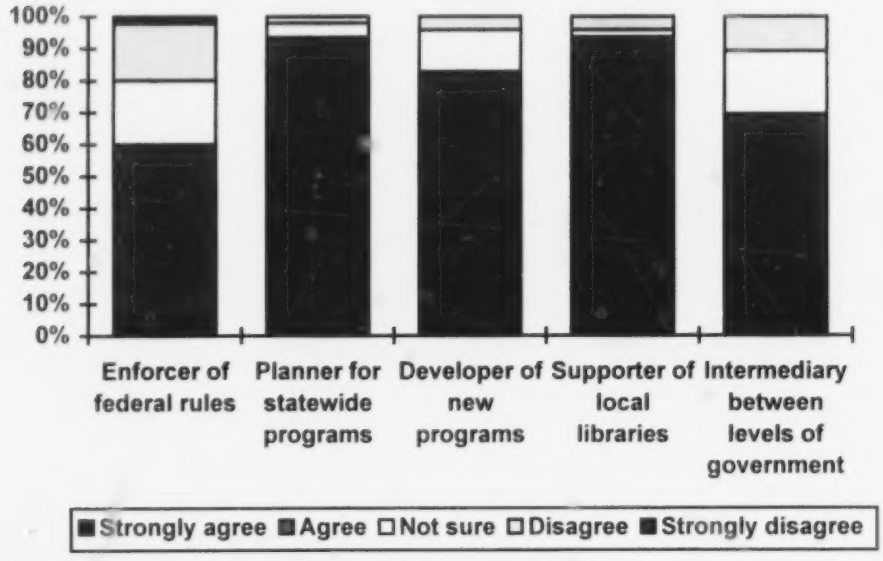

Figure 9: How LSTA Coordinators View Their Roles

Many state library agencies also administer grant programs other than LSTA (see Figure 10). The majority of these are state-funded grants, which include construction and collection development funds. Some state libraries also administer other federal or private foundation grants. The number of public libraries varies widely between states, with 19.6 percent of states having 50 or fewer, 45.7 percent reporting 51-200 public libraries, and 34.7 percent over 200 (see Figure 11). A majority (65.2 percent) of states report that they have some type of intermediary library systems, such as county libraries or regional library districts (see Figure 12). These intermediaries may be used in planning for and distributing LSTA funds. The

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state libraries also vary in size (see Figure 13). Among the LSTA-administering agencies, 28.3 percent have 40 or fewer FTE employees, 41.3 percent have 41-80 employees, and 28.4 percent have more than 80. The location of the library agency in the state government also varies (see Figure 14). State Departments of Education house 19.5 percent of state libraries, and 43.5 percent are separate library agencies. The remaining 37 percent are part of other state agencies. These vary widely, including the Department of Community and Economic Development (Utah), the Department of State (Tennessee), and the Department of Cultural Resources (North Carolina).

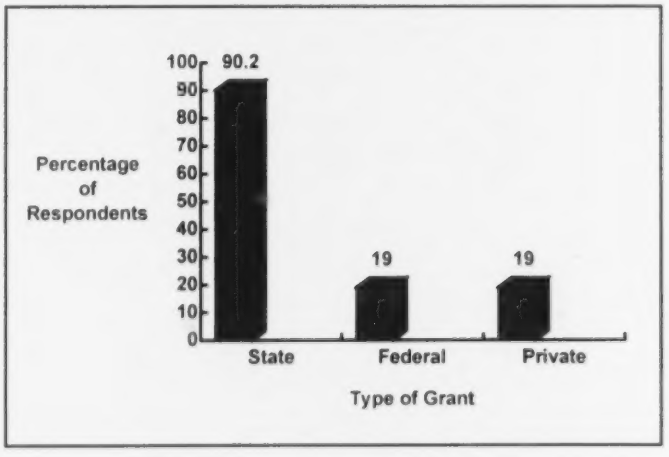

Figure 10: Other Grants Administered by State Libraries

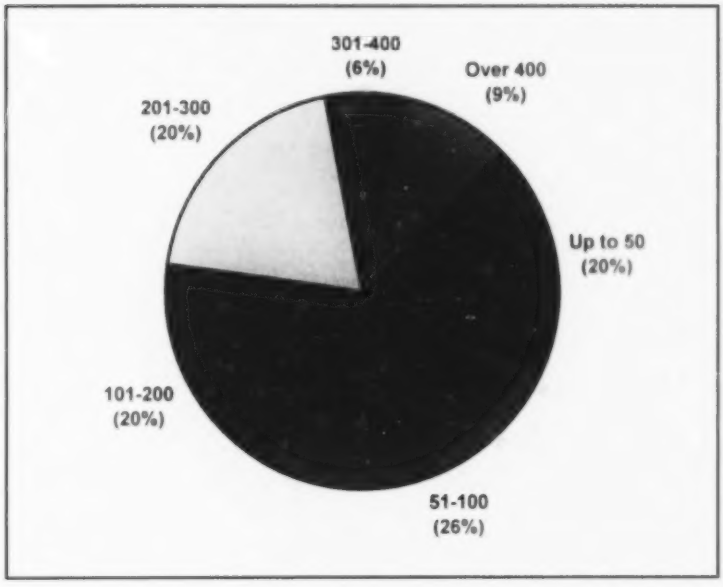

Figure 11: Number of Public Libraries per State (% of respondents)

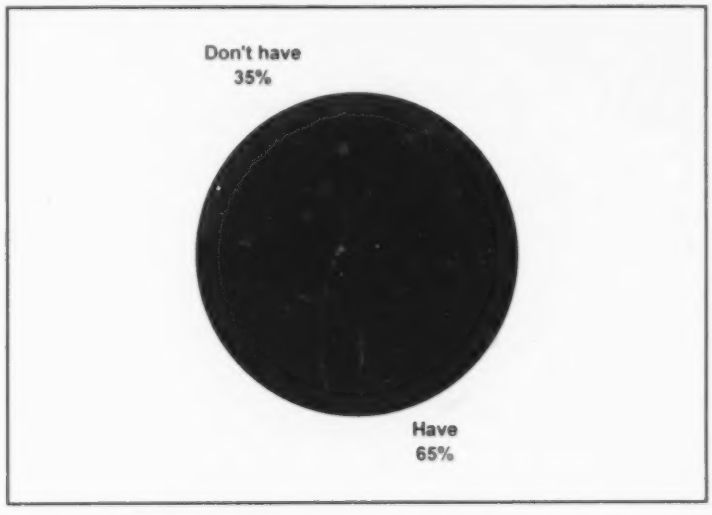

Figure 12: Presence of Intermediary Libraries in State

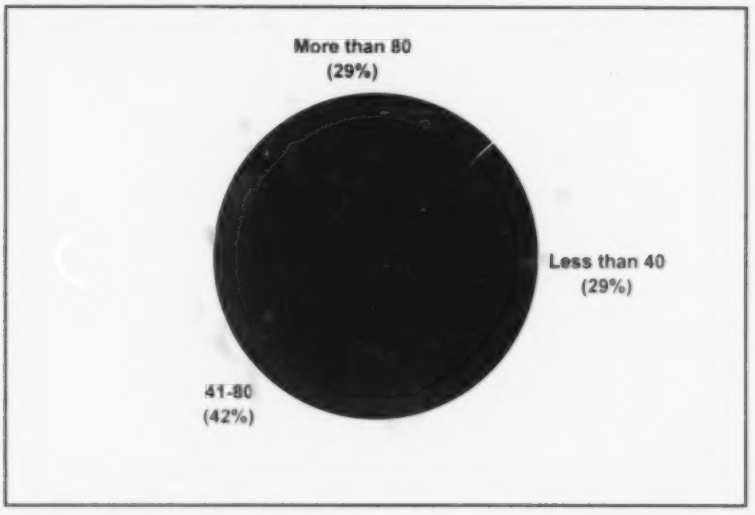

Figure 13: Number of Employees at State Library (% of respondents)

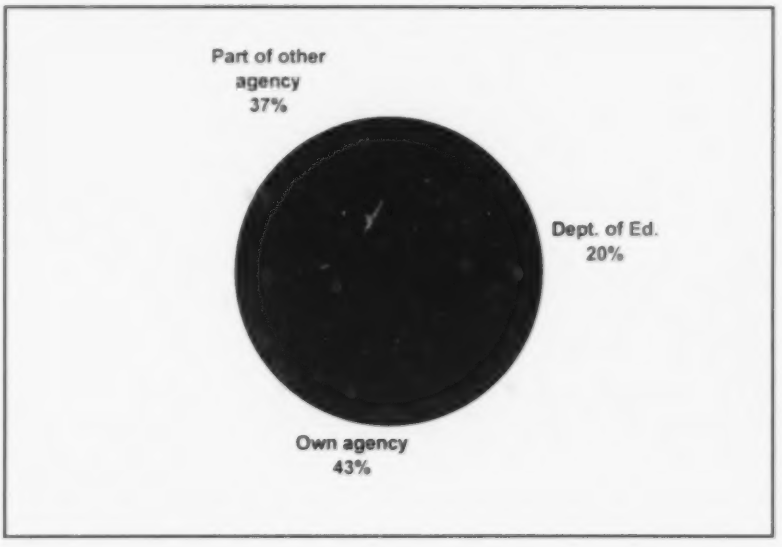

Figure 14: Administrative Location of State Library

Correlational Analysis

In addition to the descriptive statistics generated from the survey, some simple correlations were calculated to assess the extent to which variations in state library

policies and structures are a function of broader state indicators. All of the additional state variables were tested for significant relationships with the dependent variable percentage of LSTA funds distributed to local libraries. This dependent variable showed a wide range of values across the states, unlike most other variables from the survey. Significance was measured at the .05 level. Using Pearson's r, only one of the state level variables showed a significant relationship: percentage of population in urban areas. These two variables showed a positive correlation when tested using Pearson's r. Specifically, those states with higher levels of population concentration in urban areas tend to distribute a larger percentage of LSTA funds relative to less urban states. One possible explanation for this is that urban areas tend to have larger local public libraries to which the state library may be more willing to allocate funds. Two other independent variables showed associations that were close to the .05 level: state population and public library holdings per capita. The positive correlation with state population showed a significance of .052. Further analysis revealed a significant Spearman's rho of .376 (significance .014) for state population, indicating that larger states (in terms of population) also tend to distribute more of their LSTA funds to local libraries. The negative correlation with public library holdings per capita showed a significance level of .053. A Spearman's rho value of -.316 was calculated, with a significance level of .042. This indicates that state with larger library holdings per capita tend to give less LSTA funds local libraries. As illustrated in Table 5, none of the other variables showed any statistically significant relationship with the

percentage of LSTA funds distributed. Two other variables from the survey were also tested as independent variables with percentage of LSTA funds distributed as the dependent variable. These variables were number of public libraries in the states and number of state library employees. Neither of these showed any correlation.

Table 5: Correlation Matrix

INDEPENDENT VARIABLE	PEARSON'S R CORRELATION WITH DEPENDENT VARIABLE: Percentage of LSTA funds distributed (Significance level)
Percent urban population, 1996	.346 (.021) *
Population, 1996	.302 (.052) *
Public library holdings per capita, 1993	-.301 (.053) *
Number of public libraries in state	.034 (.825)
Number of state library employees	.129 (.404)
Population per square mile, 1996	.171 (.280)
State and local education spending per capita, 1993	.024 (.880)
Federal aid per dollar of tax revenue, 1994	-.169 (.286)
State and local tax revenue per capita, 1993	.108 (.494)
Population in poverty, 1996	-.128 (.419)
Total library spending per capita, 1993	.148 (.351)
Percentage of population over 65, 1996	-.088 (.579)
Percentage of population under 18, 1996	-.056 (.725)
Percentage of population African American, 1994	.204 (.194)
Percentage of population Hispanic, 1994	.074 (.643)

* Significant or almost significant at the .05 level. Associations are discussed in the text

The new variables, which combined technology (TECHTOT) and non-technology-related (NTECHTOT) emphases in the LSTA plans, were tested against all variables in the data set using Spearman's rank order test. This analysis showed no clear associations. These technology variables were tested for associations with the levels of support for technology in the states as reflected in answers to question 10 of the survey (see Appendix A). It was theorized that higher levels of support for library technology might lead to increased emphasis on technology in the LSTA plan. However, no statistically significant association was found between any of these variables when tested using Pearson's r and Spearman's rank order, indicating that there is no discernible relationship. It should be noted that TECHTOT is not an ideal measure of library technology support in a state, as it expresses only the amount of change in emphasis from LSCA to LSTA. To determine actual support for library use of technology, further study of all levels of library spending would be needed. This study focuses only on LSTA spending.

These results indicate that there is no clear relationship between state characteristics and LSTA policy. This finding helps support the move toward decentralization and increased state flexibility. Given the lack of consistent state indicators of LSTA priorities, it is essential that the IMLS allow states to set their own organizational structures and spending practices to best meet the unique needs of their citizens. The lack of fruitful information from the correlational analysis also

supports the use of a case study approach to augment the cross-sectional research strategy.

Case Study Results

In preparation for conducting the case studies, two officials at the Institute of Museum and Library Services (IMLS) were interviewed. Information from these interviews was combined with survey results to create questions for case study interviews (see Appendix B). The LSTA administering agencies in Arizona, New Mexico, Texas, and Massachusetts were studied for this research. In the following section, each state's LSTA plan and program is discussed. Models of federalism are also applied to each state LSTA program.

IMLS Visit

As part of this project, the researcher visited the offices of the IMLS on June 26, 1998. Director of State Library Programs Jane Heiser and LSTA Program Officer Evaline Neff were interviewed at that time. Both had recently moved from the Department of Education's Office of Library Programs to the IMLS, following the transfer of the LSCA/LSTA program. Heiser was enthusiastic about both the move to the IMLS and the new LSTA program. She emphasized that the IMLS is trying to be more responsive to the needs of the states. The IMLS wanted to make the LSTA process as simple as possible, while following federal guidelines and laws. Heiser viewed herself and other IMLS staff as facilitators. As an example, she related how

the IMLS recently worked with the State Library of West Virginia to revise interpretations of state law to ensure that LSTA funds could be used by libraries other than public libraries. The IMLS has been working more closely with the Organization of Chief Officers of State Library Agencies (COSLA), in part to develop the annual reporting procedures for LSTA. Heiser reported that she viewed the IMLS's enforcement role as more consultative than punitive. Her stated goal was "not to go out and evaluate, but to keep them legal." Funds were rarely withheld from the states. When they were, it was usually because of faulty accounting practices at the state level.

Both Heiser and Neff indicated that they were eager to see how the states incorporate new aspects of LSTA, such as additional types of libraries, into their programs. Some states seemed to be more interested in this aspect of LSTA than others. Not surprisingly, many states were afraid that serving school libraries would be too much for them. However, the IMLS was actively encouraging the states to change their LSTA procedures to include school libraries. Neff also expressed concern about the removal of maintenance-of-effort provisions in specific program areas. LSTA only required that the states show one overall maintenance-of-effort total, whereas LSCA had five separate requirements. This change gave the states more flexibility in using the funds, as they were not required to spend state funds in specific areas. Neff indicated that this might be a disincentive for continued spending in areas that were targeted under LSCA. These included services to the disabled and

to the institutionalized. Neff also voiced her belief that services to the disabled will continue, as these clients have strong lobbying voices, but that services to those who do not demand them, such as the institutionalized, will be reduced. However, Neff stated that it was "time to dump LSCA and go on." The programs of LSCA were overly complicated by many years worth of amendments and additions. From her point of view, it felt "good to start fresh."

The annual meeting of state LSTA coordinators at the American Library Association (ALA) Annual Conference, held on June 28, 1998, in Washington, D.C., was also attended by the researcher. This was the primary face-to-face annual forum for the federal and state workers on this program. The meeting was chaired by Jerry Krois, State Librarian of Wyoming. Representatives from many states were present. Betsy Sywetz, head of the IMLS's Library Division, led a group of IMLS staff who spoke at the meeting. These included Jane Heiser and Joyce Ray, director of LSTA Discretionary Programs. They each reported on progress on federal library grant programs, as well as what to expect in the future. A major topic of discussion was the proposed LSTA annual report form, which was designed by the IMLS and COSLA. Amy Owen, State Librarian of Utah, represented COSLA at this meeting. IMLS staff stressed that they want to keep the reporting simple and cut down on the paperwork required. Several state coordinators commented that they will have to gather the same data anyway, for state purposes and for their five year reports, which will be more detailed. GladysAnn Wells, State Librarian of Arizona, noted that the "information

responsibility for this program has shifted from the federal to the state level." Many state coordinators seemed dismayed and confused at this idea.

The meetings with IMLS officials and discussions at the ALA conference, when considered in conjunction with the survey results, provided an excellent backdrop for the closer examination of the experiences of a small number of individual states. As explained earlier, the states of Arizona, New Mexico, Texas, and Massachusetts were selected for case studies based on a variety of criteria to represent the range of state practices. What follows are the results of those four case studies and a summary description of their notable similarities and differences.

Arizona

The Arizona Department of Library, Archives, and Public Records (DLAPR) is a legislative agency. It "serves the information needs of Arizona citizens as authorized in Arizona Revised Statutes 41-1331 through 41-1352" (Arizona Department of Library, Archives and Public Records 1998; hereafter DLAPR). It serves as the library for the state legislature, as well as providing coordination for public libraries in the state. DLAPR is also in charge of state records and archives, as well as several state museums. As a legislative library, DLAPR has the opportunity to work closely with the state legislators, familiarizing them with some of its services and programs. DLAPR receives about one third of its total budget from LSTA funds. The FY 1998 LSTA allocation was $2,251,697, while the LSCA allocation for 1997 was $2,053,324, representing a 9 percent increase from LSCA to LSTA, and an

increase from 46 cents per capita (1997 LSCA) to 51 cents per capita (1998 LSTA). In responding to the survey, the LSTA coordinator expressed uncertainty regarding what percentage of LSTA funds would be distributed to individual libraries, although in the interview he estimated that in the past with LSCA it was normally about 65 percent. Arizona has a number of public libraries, although the exact number is in dispute: "by the 'strict' federal definition, there are only 39 ... In actuality, we have at least 155 different 'public' and 'tribal' library facilities around the state, though many of them are actually branches, etc., of larger units" (Robin Cabot personal correspondence 1998). DLAPR has 122.2 FTE employees, including all its divisions.

LSTA programs in Arizona are administered by the Library Extension Division (LED) of DLAPR. The LED "takes a leadership role in coordinating statewide planning and development of library services... [including] administering federal grant programs for public library development, public library construction and interlibrary construction" (DLAPR 1998). This division has a staff of five library consultants. Each is assigned to work with specific counties in the state. They provide assistance to the public libraries in their counties. One of these consultants is also the LSTA coordinator. For this case study, Robin Cabot, the LSTA coordinator at DLAPR, was interviewed GladysAnn Wells, State Librarian, and LED consultants Jan Elliot and Linda McCleary were also interviewed. Robin Cabot acts as LSTA coordinator as well as serving as LED consultant for several counties. He received his Master of Library Science degree from Florida State University in 1984, and

worked at public libraries in Louisiana and Alabama before coming to DLAPR in 1987. He became the LSCA coordinator in 1992. In 1997, LSCA/LSTA program administration was moved from the direct supervision of the state librarian to the LED, and he moved with it.

Arizona's five year plan for LSTA includes both new activities and continuation of existing functions previously funded by LSCA. The plan contains four goals or priorities, and states that "the Department considers each of the four priorities of equal importance." The priorities are to:

1. Support the improvement and enhancement of services by providing and effectively using technology to make available and deliver information;
2. Establish partnerships and collaborations with cultural institutions and agencies serving the public;
3. Target library and information services to persons who have difficulty using a library or traditional print materials. Target underserved urban and rural communities including children and families below the poverty line; and
4. Develop and provide a program of training and retraining of persons in libraries, cultural, and archival institutions using both new and traditional delivery methods (DLAPR 1997)

Each of these goals includes specific activities and the time frame for conducting them. The activities are further divided into continuing and new, except for Priority 2, which is totally new and has only new activities. Major continuing activities include the statewide computer-based interlibrary loan network (AzNet), the statewide summer reading program, and education/training for public library staff members around the state. Major new activities include statewide licensing of library research databases, working with cultural institutions such as museums to incorporate

them and their resources into LSTA programs, services for the underserved, and expanding educational programs to include all cultural institutions.

Arizona has traditionally spent most LSCA funds in the second year of availability. Consequently, in 1998 they were still focused on spending their FY97 LSCA money. In addition, new state librarian GladysAnn Wells was recently appointed, and planning for LSTA programs was delayed somewhat until she decided what DLAPR's priorities should be. In August 1998, a statewide library planning conference was held. Library and museum staff and supporters from around the state attended, to discuss the future of these institutions. When interviewed on July 10, 1998, Wells was especially interested in getting input from end users. She felt that librarians need to ask the public what they want and need from libraries. This conference was the first statewide attempt to bring museums and libraries together. DLAPR has also hired a museum LSTA representative to work with museums regarding these programs. DLAPR staff felt that this is a unique approach to integrating all cultural institutions.

In interviews conducted on July 10, 1998, DLAPR staff stated that the transition to LSTA was going very well so far. They had not yet spent much of the money. However, remaining LSCA Title II construction funds were transferred to the IMLS's control. Those funds and LSTA funds must be requested from the IMLS, while other remaining LSCA funds were still distributed by the Department of Education. This meant that the DLAPR staff must know and use two different

systems for requesting and transferring funds. Robin Cabot, LSTA coordinator, was familiar with computers and accounting and was well versed in the various federal systems for funds transfers. He reported experiencing some problems in the transition to the IMLS. When all Title II LSCA funds were transferred to the IMLS, the amounts were based on estimates from the states. These estimates were not always accurate. Somehow, $600,000 of Arizona's remaining grants was lost in this transition. At the time of this interview, Cabot, the state librarian, and others were still trying to correct this problem. None involved was sure of what happened to the funds. Because it involved the U.S. Department of Education, there was a lot of red tape and many layers of staff with which to deal. DLAPR staff were frustrated that the accounting system for LSTA was changing yet again. However, Cabot believed that the new paper form for requesting LSTA funds would be easier than the electronic transfers of the past, mostly because the IMLS was very responsive and quick to correct problems. Cabot was generally happy with the transition and was surprised that it was going so well.

Reporting systems for LSTA were not completely in place at the time of the interview. Quarterly fiscal reports were required by the IMLS. Annual activity reports will also be required, but this report format had not yet been set. A five year report will be required at the end of the planned period. Cabot wondered just what he would be reporting. He stated that he would enjoy having a bit more freedom on what data to collect, although he had not yet become accustomed to this freedom. He

was accustomed to being told specifically what information the federal agency wanted. Cabot relished his fiscal role in this process; he "maintains the money stream by doing the paperwork ... nobody else wants to do accounting and statistics." He was definitely looking forward to spending all remaining LSCA funds, so that he could focus on LSTA and its requirements. He enjoyed working with the smaller staff of the IMLS. The IMLS did have some problems while they were moving to their new offices; they were out of contact for a time. Since they settled in, were set up again, and almost fully staffed, Cabot felt that they were very personable and helpful. Libraries were more important to the IMLS than they were to the Department of Education. This gave the state a closer relationship to the federal government.

DLAPR and state librarian GladysAnn Wells hoped to generate new ideas and support with their statewide planning conference. Wells wanted to learn more about what the public desired from libraries. DLAPR was very interested in new programs that incorporate museums and other cultural resources, and was serving as the lead agency in applying for a five state American Indian leadership grant from the IMLS. All DLAPR staff members interviewed expressed enthusiasm about working with museums, although they anticipated some challenges. According to DLAPR officials, museums in Arizona are mostly small organizations with inexperienced staffs. They apparently are not used to working with other museums to the extent that libraries are used to working with other libraries. However, DLAPR was unusual among state

LSTA administrative agencies in that it serves museums as well as libraries. They felt that this would make working with museums relatively easy.

On the other hand, DLAPR showed little interest in interacting with libraries other than their traditional service group of public libraries. They were comfortable with public libraries and they knew their needs. They cited DLAPR's authorizing legislation, which directs them to serve public libraries in the state. They understood that LSTA is meant to support libraries of all types, and to encourage cooperation. However, they were not really looking forward to that prospect. DLAPR did not have firm plans to start incorporating school, academic, or special libraries into its programs. They have made some efforts in the past to work with school libraries, but the Arizona Department of Education did not view libraries as a priority. DLAPR feared that they would be overwhelmed by the demands of the large number of school libraries in the state. They viewed academic and special libraries as having better sources of funding than public and school libraries, and as not really needing special help or LSTA funds. These types of libraries had not contacted DLAPR to request services or LSTA funds yet, except for several community colleges which asked to become members of the statewide interlibrary loan network.

Regarding maintenance of effort in service to various special patron groups (no longer required under LSTA), officials indicated that services to the blind would definitely be maintained in Arizona. The Braille and Talking Book Library is a division of DLAPR that is well supported by the public and the legislature. Some

less-popular programs, such as services to the institutionalized, were never really developed and will probably not be started now. Priority 3 of the Arizona LSTA Plan mentioned development of new services to underserved urban and rural residents, although it does not detail how these services will be accomplished.

In conclusion, the state of Arizona has made a start on accomplishing the goals of its LSTA plan. The new state librarian was trying to get public input for the planning process. DLAPR has developed a five year plan, with room to create new and innovative programs. They have also committed to continuation of LSCA programs that they feel are worthwhile. As of 1998 they were reaching out to museums, archives, and other cultural resource centers. However, they showed little interest in serving school, academic, or special libraries. They viewed public libraries as their primary constituency. DLAPR preferred to focus on the public libraries with which they are familiar. They did not think they had the resources to expand their services to other libraries. This contradicted one of the purposes of LSTA: promoting cooperation and networking between types of libraries.

Arizona's LSTA program best fit into the model of cooperative federalism. State and local libraries are willing and able to work together to achieve common goals. DLAPR's Activate conference solicited input about library service needs from the local level. At the time of this case study, DLAPR had not yet devised a program of grants to local libraries for LSTA, although they plan to do so. DLAPR was not quite ready to devolve more power for program design to the local level. They still

wanted to use the funds for some statewide projects that they determined were useful to many libraries in the state, such as the AzNet resource sharing network.

New Mexico

The New Mexico State Library (NMSL) is part of the state's Division of Cultural Affairs. Functions of the NMSL include assessing and assisting libraries in the state, helping with development of new libraries, and promoting a statewide network of library services (New Mexico State Library 1998, hereafter NMSL). The NMSL is also the primary provider of library services for selected rural locations in the state that have no other library services. According to the state's LSTA plan, 23 percent of the state's population lives "outside communities with local public libraries." The FY 1998 allocation of LSTA funds was $1,079,716, up just 6.7 percent from FY 1997's LSCA allocation of $1,006,244. This represents a per capita allocation of 63 cents for 1998 and 59 cents for 1997. The NMSL distributes less than 15 percent of these LSTA funds to local libraries. There are 109 local public libraries in New Mexico, and the NMSL employs 66 FTE staff.

The LSTA program is administered by the NMSL's Bureau of Development Services (BDS). This section has six librarians. Three serve as consultants to public libraries in assigned geographic areas of the state, one serves as consultant to tribal libraries, one manages the library development program, and one is designated as grants/statistics coordinator. This final position, currently held by Scott Sheldon, is also designated as LSTA coordinator. Sheldon was interviewed for this case study.

He earned his Master of Library Science degree from the University of Texas, and worked in public libraries in Texas and Colorado before joining the staff of NMSL in 1988. His first job at NMSL was as a public library consultant. He was assigned to his current job in 1992; thus he has experience with LSCA and the transition to LSTA. He also administers the program of state aid grants to libraries.

New Mexico's LSTA plan emphasizes the poverty of the state as a whole, and the importance of continuing projects previously funded by LSCA. Three goals for LSTA are listed:

1) services to the underserved, through extension of library services to underserved citizens;
2) provision of Internet access and training; and
3) grants for local projects (NMSL 1997)

The plan describes each of these goals briefly, with a short summary of the strategies and evaluation criteria. Some detail is given about how the activities will be conducted. There is a strong emphasis on the first goal. The plan states that "extension of direct library services to rural citizens of the states ... must continue to utilize most of the resources received under the LSTA for at least this initial five year period" (NMSL 1997, 5). This part of the program pays for staff and equipment for bookmobiles and the books-by-mail service run by NMSL. State and local funds buy the library materials for these programs. The plan also mentions several related areas that may receive periodic support from LSTA funds, such as interlibrary loan services and literacy programs.

Regarding the second goal, NMSL has already provided Internet connectivity for all public libraries in the state using state funds. However, NMSL believes that many public libraries are not making full use of this access. A training program will be initiated to help public libraries accomplish this. Training will be conducted at various locations in the state to make attendance easier. No dates are specified for when this training will take place. The possibility of providing statewide access to subscription-based electronic databases is also mentioned. The third goal is phrased in somewhat tentative terms: "based upon the recommendations ... and the availability of funding, the State Librarian may request competitive proposals for grants from New Mexico libraries to fund local projects that meet LSTA priorities" (NMSL 1997, 8). NMSL seems hesitant to commit to giving out these funds to local projects, regardless of local goals or priorities.

The LSTA plan was created by Sheldon and is based on previous LSCA plans. Input from libraries in the state was mostly indirect. A draft of the plan was made available on the NMSL web page, and this was announced through the NMSL Newsletter and via electronic mail, but Sheldon reportedly did not receive many comments. A "customer satisfaction" survey was conducted of public, academic, special, and school libraries in the state in December 1996. Respondents ranked the services of NMSL. Rural services/bookmobiles were not among the services listed. This survey, unfortunately, had only a 10 percent response rate, minimizing the generalizability of the results. Internet training and resources awareness focus groups

were also conducted in five locations in the state. These focus groups brought out the desire on the part of New Mexico librarians to have NMSL provide full-text research databases through the Internet, which is mentioned as a possibility under the second goal.

In a July 17, 1998, interview, Sheldon stated that he enjoyed working with the IMLS. He found IMLS staff to be "helpful, accommodating, and informative." They were clear and concise in their critique of the NMSL's first draft LSTA plan, and made helpful suggestions to "tighten up" the plan. Sheldon also enjoyed the added freedom that LSTA provides to the state. New Mexico was allowed more choice in how it spent LSTA funds. The elimination of maintenance of effort requirements in specific areas allowed NMSL to award "big one-time grants" if they desired; this created the possibility of "more dramatic, sexier use of federal funds." However, Sheldon did not enjoy the fiscal reporting required by the IMLS. He felt that this was not the best use of his skills. He would prefer to focus on planning, getting to know the state's libraries, and determining how NMSL can help them.

At the time of this study, the NMSL was not responding quickly to the major changes in LSTA. NMSL had not made many efforts to reach out to other types of libraries, beyond including the other libraries in their service survey. When asked about plans to work with other types of libraries, Sheldon stated that there "would be more interaction if we [NMSL] had more money. We really have to cover the rural services." NMSL was also not reaching out to work with museums or other cultural

institutions as of 1998. The elimination of specific maintenance of effort requirements has allowed NMSL to de-emphasize certain programs. They had already eliminated programs for the institutionalized several years ago. Services for the blind were supported by NMSL, but have never been funded with LSCA or LSTA. Basically, NMSL was very concerned about maintaining their current rural services program. Their dedication to serving rural residents is admirable. However, they have not presented alternative approaches to these problems. A new state librarian began work in Santa Fe in July of 1998. For a number of months prior to that, NMSL was leaderless. The new state librarian, Ben Wakashige, has a varied background, having worked in both academic and school libraries. Perhaps he will bring new direction to NMSL and its LSTA programs.

In New Mexico, the competitive models of federalism were quite applicable. Library funding was treated as finite and limited. NMSL behaved as though no additional funds were available from local governments, rather than attempting to engage local governments in collaborative projects by offering them matching funds. NMSL provided direct services to many users in the state, rather than encouraging local libraries to develop and provide these services. Wright's (1988) inclusive model is also applicable here. NMSL preferred the hierarchical approach to some degree; they wanted to have control over their LSTA funds. Little input was solicited from local libraries for the LSTA plan. The state was willing to provide services in place of local government if it had total control over the funds.

Texas

The Texas State Library and Archives Commission (TSL) is an independent agency of the Texas state government. Its slogan is "making information work for all Texans" (Texas State Library and Archives Commission 1998, hereafter TSL). TSL provides services to libraries and librarians in the state. TSL also provides archival resources and state and local records management. Ten regional library networks provide services to libraries in the state. The LSTA allocation to Texas for FY 1998 was $8,598,101, a 12 percent increase over their LSCA allocation for FY 1997 of $7,575,350. This is a per capita allocation of 45 cents for 1998, greater than the 40 cents per capita for 1997. Texas distributes over 75 percent of its LSTA funds to local and regional libraries. There are 550 public libraries in Texas, making it one of the top states in the nation in number of public libraries. TSL, with its 205 full time equivalent (FTE) employees, is one of the largest state libraries in the country.

LSTA programs in Texas are administered by the Library Development Division (LDD) of TSL. One stated goal of LDD is to "foster statewide coordination and encourage support of information services among all types of libraries in the state" (TSL 1998). LDD has a staff of librarians who provide various services to libraries, including consulting, continuing education, grants, and coordination of the Texas Reading Club for children. Jeanette Larson, director of LDD, is also the state's LSTA Coordinator. Larson was interviewed for this case study. She became LDD director and LSTA Coordinator at the end of 1997. For six years prior to that, she

was manager for Continuing Education and Consulting Services in LDD. Before working at TSL, she was employed as a public librarian, where she had applied for and received LSCA grants from the state.

Texas completed its five year LSTA plan in March 1997. It includes four main goals, namely:

1) Statewide sharing of resources;
2) Regional library systems;
3) Aid to local libraries; and
4) Services to the physically handicapped (TSL 1997)

Each goal includes some number of individual library programs, some of which are much more developed than others. Projects are a mixture of competitive grants, allocations to other library systems for specific purposes, and funding for services provided by TSL itself. The plan states actual dollar amounts to be allocated to some programs continued from LSCA. Overall, the plan contains a mixture of continuing and new programs. Major continuing activities include partial funding of the TexNet interlibrary loan system and the Texas Reading Club. New projects include Internet assistance grants and creation of a system for reference question referrals. The emphasis of some existing programs has shifted because of changes from LSCA to LSTA. In general, the plan stresses making funds available to those libraries that can develop programs to use the funds, rather than providing services to all libraries.

Like Arizona, Texas has traditionally spent LSCA funds in the second year of availability. TSL began spending LSTA funds at the beginning of their FY 1999 (September 1, 1998). They have successfully integrated planning for LSTA into other

TSL planning processes. In 1994, TSL conducted Access Texas, a large statewide planning effort. LSCA and its use was included. TSL is about to begin another similar process, and will include LSTA. TSL has also created a formal LSTA Advisory Committee, whose members are appointed by the TSL. Members are to be citizens and librarians who are representative of the various types and sizes of libraries in Texas. Travel funds for council members are provided by LSTA. This council will advise TSL on grant guidelines, competitive grant applications, and evaluative reports.

In an interview conducted on September 23, 1998, Larson noted that she was generally pleased with the reduction in paperwork required by the IMLS. She felt that the staff of the IMLS are "more allies than when they [the staff] were at DOE [Department of Education]." Her contact person at the IMLS was "cordial and helpful." LSTA definitely gave Texas more flexibility in how it spent federal grant funds. However, Larson was concerned about the lack of feedback from the IMLS, which seemed content to let TSL do whatever it wanted with LSTA funds. Larson worried aloud that TSL is "waiting for the other shoe to drop;" that is, they would like the IMLS to tell them whether they are doing well or not. It may be that the IMLS is happy with TSL's performance and programs, but Larson would like to know for sure. Larson would also like more information about what other states are doing with LSTA. She felt that the current system of having an annual meeting of the LSTA

Coordinators at the ALA Annual Conference is inadequate. She would like to have other avenues of communication.

TSL is responding well to LSTA's new focus on technology. They have initiated competitive grants in this area, as well as continuing projects such as the TexNet automated interlibrary loan system. However, a number of these projects are available only for public libraries. These include access to electronic subscriptions and Internet access grants. TSL is making some efforts to include all types of libraries in its LSTA programs. However, Larson pointed out that TSL policy is to only give funds to county or city agencies. This is not required by state law; it is merely a TSL policy. These agencies are then required by some grant programs to incorporate other types of libraries. For example, the cooperation grants require participation of several types of libraries. School, academic, or special libraries cannot apply for grants on their own. TSL is concerned because school libraries do not usually have their own budgets, so library grant funds may be used by the school for other purposes. However, this should not be a problem with academic libraries, which generally have their own budgets. Perhaps this policy could be changed to meet the new goals of LSTA. TSL is also understandably worried about the possible demands of the 2,300 school libraries in the state. Larson stated that academic libraries in the state benefited from other state-funded programs. The 10 regional library networks, which were partly funded by LSTA, also made some of their services available to libraries other than public.

Services to special groups have been affected by the elimination of individual maintenance of effort requirements. As of August 31, 1998, TSL has discontinued its program of assistance to institutional libraries, even though this program was included in the LSTA plan. Larson commented that this program was difficult to administer, partly because grants were not made directly to the agencies and partly because these libraries are so small and understaffed. However, the Talking Book Program of TSL, which provides materials for the blind and visually impaired, is well supported and popular. TSL has shown no efforts to reach beyond the library community to other cultural institutions.

TSL was a large and well-developed organization serving a populous and diverse state. Their regional library systems assisted TSL in providing a variety of services to public libraries. TSL was committed to serving public libraries, and was taking steps to serve other types of libraries and to promote cooperation between types of libraries. Hopefully this trend will continue.

The LSTA program of the state of Texas fit well into the cooperative model of federalism. TSL was very willing to distribute LSTA funds to local libraries for various projects. TSL designated a number of general purposes these subgrants could be used for, such as establishing new libraries and initiating cooperative projects between libraries. TSL was willing to give local libraries the power to design and administer these programs, thus devolving some of the power from the state to the local level.

Massachusetts

In contrast to the other states studied here, the LSTA administering agency in Massachusetts is not the state library. Rather, it is the Massachusetts Board of Library Commissioners (MBLC). The Massachusetts State Library serves only the legislature, and the Boston Public Library is designated and funded by the state to serve as the "library of last recourse" for reference and research purposes (Massachusetts Board of Library Commissioners 1997, 4, hereafter MBLC). The MBLC conducts planning and programming for libraries statewide but does not provide any sort of direct services to the public. The MBLC consists of a nine member board appointed by the governor. The Board oversees the work of professional librarians and other staff hired to work for the MBLC. There are six regional library systems in Massachusetts which provide many services to member libraries. The FY 1998 LSTA allocation for Massachusetts was $2,970,206, representing a 4.5 percent increase over the FY 1997 LSCA allocation of $2,807,070. Relative to population size, this is a per capita allocation of 49 cents for 1998 and 46 cents for 1997. MBLC distributes about 50 percent of its LSTA funds to local libraries. There are 370 public libraries in the 351 towns and cities of the state. The MBLC has 29 FTE staff.

LSTA programs in Massachusetts are administered by the Library Development Unit (LDU) of the MBLC. The LDU also provides consulting services in various subject areas; their work is divided by program type, rather than geographic

area. Sandra Souza is the grants coordinator, as well as serving as consultant for several areas including homework centers, job centers, and information literacy. She was interviewed for this case study. Souza manages state grants as well as the LSTA program. She has served as grants manager for nine years. Prior to holding this position, she was the state coordinator for prison library services and a prison librarian. While in these positions, she applied for and was awarded LSCA grants and served on the state's LSCA advisory board.

Massachusetts's five year LSTA plan contains an extensive introduction describing the various libraries of the state. The plan presents six goals, in priority order:

1) Build technological infrastructure and promote collection management and preservation;
2) Training and support for library staff;
3) Information literacy;
4) Services to children and youth;
5) Services to the disabled and underserved; and
6) Promotion of library use and services (MBLC 1997)

Each goal is divided into several objectives. The plan also specifies who will coordinate efforts on each goal and what strategies will be used for implementation. All goals are directed at all types of libraries. The plan does not clearly distinguish between continuing and new programs. However, the plan clearly states eligibility requirements for participation in direct grant programs. These libraries must simply be members of a regional library system and have a long-range plan on file with the MBLC. Any type of library is eligible as long as it meets these criteria.

Massachusetts's planning for LSTA is based on the MBLC's long-range strategic plan. There is also an LSTA advisory committee, whose 19 members represent all types of libraries. In addition, the LDU conducted eight focus group sessions with citizens and librarians before completing the LSTA plan. Results of these focus groups are included in the plan. In this process, librarians in the state provided some support to statewide projects which would not require individual grant applications, such as access to electronic databases for all libraries. The plan explicitly states that its "thrust is to use federal funds to supplement state programs while addressing the priorities of the LSTA" (MBLC 1997, 16). It also states that direct grants under LSTA are to be used as seed money for new or enhanced services, and not to continue established projects. Souza mentioned that this has always been the policy with LSCA funds in Massachusetts. Once a project is successful, state and/or local funds are expected to support it. There is much more state funding for libraries now than in the 1970s and 1980s. The state has even allocated public library construction funds, which help make up for the loss of LSCA's construction component.

In an August 5 1998 interview, Souza remarked that she had noticed a few changes during the transition to LSTA. She worked with the same staff at the IMLS as she did at the Office of Library Programs. The biggest change was the lack of paperwork. Many fewer reports and statistics were required from the states. Unfortunately, the fiscal system of the IMLS was not working well at the time of the

interview. Souza was not sure whether she was even completing the correct fiscal reports. It was also unclear to her whether the MBLC's business office or the state comptroller should handle fiscal reporting. Souza was working on developing proper formats for handling information about state projects. She planned to write a "pared-down annual program report for her own use," as she finds it handy to have this information available throughout the year. The MBLC planned to hold a staff retreat to determine what LSTA information they need to collect and keep for their own purposes. Souza felt that she had less paperwork to complete than under LSCA. She and the MBLC were still changing their mindset "from emphasizing federal reporting to emphasizing local needs." Souza tried to allow local libraries to be creative in their projects while still meeting the guidelines and directions of the LSTA plan.

Souza found that seeing the whole grant process from beginning to end was rewarding for her. She observed the original idea as it developed into a grant proposal, then often continued to be involved even after the grant was over if it was successful. These successful programs might be implemented at other libraries as well. An example was the library homework center, which began as a grant project at a single library. It was so successful that MBLC sponsored a homework center mini-grant program. In FY 1999, ten centers will be set up in public libraries in the state. Souza also enjoyed keeping track of all the projects, and encouraging libraries to emulate successful ones like the homework center.

MBLC was certainly trying hard to incorporate all types of libraries into their LSTA programs. All direct grant programs were open to all types of libraries. MBLC's strategic plan included services to all types of libraries as well, although they are only mandated by law to serve public libraries. Of the 21 direct grants awarded for FY 1999, two (9.5 percent) were to libraries other than public, and one (4.7 percent) was to a network serving both school and public libraries. One institutional library received a mini-grant, while the other 50 went to public libraries. Souza was happy to encourage grant applications from all types of libraries. MBLC was committed to creating a grant program targeted at school libraries by 2002. Massachusetts also continued to support programs for the underserved, such as the blind and the institutionalized. The state supported two talking book libraries. As a former prison librarian, Souza was personally very supportive of institutional libraries.

MBLC was also supporting use of library technology in various areas. Out of 21 direct grants for FY 1999, 13 (62 percent) are for technology-related projects, such as networking or information literacy training. Support of the six regional library systems and the ten automated resource sharing networks included technology components. Training for library staff in technology areas was also a facet of the plan.

In Massachusetts, the LSTA process corresponds to the cooperative model of intergovernmental relations, edging into the creative model. The state's regional

library systems were private non-profit organizations, an innovation characteristic of creative federalism. MBLC's LSTA plan emphasized both interlibrary cooperation and grants to individual libraries. MBLC was committed to allowing local libraries to develop their own programs, and to providing funding for these programs. Massachusetts welcomed all types of libraries into its LSTA program, emphasizing that all libraries in the state should work together to provide services to citizens. They have successfully devolved much of the creation of library programs to the local level, so much so that MBLC encourages successful local programs to be duplicated by other local libraries.

Comparison of States

Although all fifty U.S. states are implementing new programs to use LSTA funds, there are differences among these programs. Each state is unique in terms of both its needs and its values. In enacting the LSTA, the national government has told the states that support of libraries, and especially certain library services, is important. LSTA was enacted with the input and strong support of librarians and the American Library Association, and it reflects the ideas and desires of many librarians. As of 1998, the states are just beginning to implement LSTA. They are struggling to change their own rules and policies to accommodate those of LSTA. They are trying to decide just which parts of LSTA are most important to their state, and how they should use the funds. While the survey results revealed some interesting variations among states, they did not provide sufficient insight into the factors contributing to

these differences. The case studies of New Mexico, Arizona, Texas, and Massachusetts provided more details about how states are reacting to the changes from LSCA to LSTA. Table 6 presents some comparative data from the four states. The remainder of this section discusses significant similarities and differences among the case study states.

Table 6: Comparison of Case Study States

	Arizona	New Mexico	Texas	Massachusetts
Population, 1996	4,428,000	1,713,000	19,128,000	6,092,000
Population per square mile, 1996	39	14.1	73	777.3
FY98 LSTA allocation	$2,251,697	1,079,716	8,598,101	2,970,206
Per capita FY98 LSTA allocation	.51	.63	.45	.49
FY97 LSCA allocation	$2,053,324	1,006,244	7,575,350	2,807,070
Per capita FY97 allocation	.46	.59	.40	.46
Percentage of LSTA funds distributed to local libraries	65%	>15%	<75%	50%
State library FTE	122.2	66	205	29
Regional library systems	Yes	No	Yes	Yes
Number of public libraries	39 to 155	109	550	370

One interesting variable in this process is the presence of regional library systems in a state. Among survey respondents, 65 percent of states reported that they have some sort of intermediary library systems between the state library and local libraries. In the case study states, only New Mexico lacks intermediary systems. Texas and Massachusetts have formal regional systems, while Arizona's county libraries are assigned similar roles. Having these systems in place seems to make life much easier for the state libraries. The regional systems serve as first points of contact for local libraries, reducing the number of queries to the state libraries. The regional systems can also provide training, cataloging services, and planning

assistance to individual local libraries. In New Mexico, the state library must provide these services directly to local libraries, if they are provided at all. In the other states, the state libraries have designed their particular system structure and allow the regional systems to bear part of the load.

Services to the underserved in rural areas surfaced as an important concern in the western case studies. In Massachusetts, where the population density is considerably higher, it is unlikely that any resident is very far from one of the 370 public libraries. Rural service thus is not seen as a major concern. In New Mexico, 23 percent of residents did not have access to a local public library. One New Mexico county, out of a total of 33, had no public library at all. In Texas, four of 254 counties had no public libraries. Arizona also had many isolated state residents. Each state dealt with this problem in a different way.

New Mexico chose to develop a combination of bookmobiles and a books-by-mail program provided directly to residents by the state library. This program had been run by the state library for many years. Texas, on the other hand, had ceased state-provided bookmobile services by the late 1980s. At the time of this research, they had a program of public library establishment grants. These grants were made to local governments to help them start libraries. The local government was required to provide matching funds. Qualifying jurisdictions were allowed to receive funds for three years. The advantage to this program was that after the three years were over, the community had a library with local funding and support, and could continue to

provide services with less state and/or federal funding. Texas LSTA coordinator Larson stated that this program had been successful in reducing the number of unserved citizens in the state. In Arizona, responsibility for these remote services has traditionally been delegated to the county libraries. Arizona was different from Texas and New Mexico in that it had only 15 counties, all of which were quite large geographically. The state had enabled counties to impose an additional sales tax for the exclusive purpose of funding county libraries, which had enabled the counties to expand many services.

Unless New Mexico adopts a new strategy for rural services, the current rural services program will continue to consume a large share of LSTA funds with no end in sight. How important is this program to the state? Could the funds be spent better elsewhere? How has the state library decided that this program is a priority? These questions deserve further study. The state has several options. First, the New Mexico State Library (NMSL) could replace LSTA funds for their current rural services program with state funds, if they can convince state legislators of the importance of these services. Second, NMSL could create an establishment grant program similar to that of Texas. This will create an incentive for communities to start their own libraries. Finally, NMSL could simply stop providing these services to all or part of the state, and shift the funds to other programs.

Incorporating all types of libraries into LSTA programs seems to be a difficult aspect of the transition. This topic was not covered in the survey, so all observations

are based on the case studies. Of the four states studied, Massachusetts is most committed to incorporating all types of libraries. Many state libraries are charged by the state legislature with serving mainly the public libraries in their state. They are familiar with public libraries, understand their needs, and see themselves as an important resource for public librarians. Of the four LSTA coordinators interviewed, three had previously worked in public libraries. To return to the picket fence model, we can imagine public libraries as one picket in the governmental fence. The challenge of LSTA is to broaden this picket so that all libraries are included.

There are excellent reasons for inclusion of all libraries in LSTA programs. Different libraries contain different types of resources. For example, imagine what a citizen who is interested in cooking would find in different types of libraries. An elementary school library will have picture cookbooks for children. A public library will have children's cookbooks as well as many for adults. An academic library will have treatises on the history of food and cooking. The special library at the local hospital will have materials on cooking for those with particular illnesses. A library user may visit any one of these libraries, and really need what is at one of the others. How can the librarians get them the information they need? In a given community, residents will likely patronize several libraries depending on their information needs at a given time. The library community as a whole can better serve its patrons by being able to help them find the resource they need regardless of the type of library in which it is housed. Multitype library cooperation can help local librarians get to

know all the information resources of their community and state. LSTA is encouraging state libraries to promote this type of activity. The states seem to be working at it, but all need to develop more contacts.

The states studied are all wary of the possible demands of school libraries. These demands could be viewed as a real problem. School libraries are often underfunded and understaffed. Schools and state education departments, as a general rule, do not pay much attention to libraries. In Massachusetts, students in public schools are served by only 0.7 librarians per school, and 18.4 percent of Massachusetts school libraries have no staff at all (MBLC 1997, 6). These libraries may indeed make heavy demands on LSTA. On the other hand, the children served by school libraries represent our future. They are also the same children served by public libraries. If they learn to value library services at a young age, they may continue this attitude as adult citizens. If state libraries can see all the libraries in a state as one large system, schools are one of the key pieces. Why not allow them to be part of LSTA? Success with school libraries might even lead to increased federal or state funding. In small communities, the only libraries may be those tiny school and public facilities. Thus it is essential to work together, pooling scarce resources in some ways, or developing cooperative projects using LSTA funds.

Another major change from LSCA is the shift from an emphasis on construction of physical buildings to construction of a technological infrastructure. Many states have already been working in this area, using LSCA and state funds.

New Mexico has provided Internet access to all public libraries in the state through state grants. Arizona and Texas have developed statewide automated interlibrary loan networks. Massachusetts has ten separate automated resource sharing networks. Libraries in the U.S. have been automating for years. However, the new national emphasis on the "information superhighway" reverberates in LSTA. What innovative uses will libraries find for technology? How can libraries compete with or surpass commercial services? How can libraries provide services that commercial vendors will not? How can libraries provide equity to those who cannot afford commercial information access? These are areas where grants to individual libraries may encourage great innovations. Libraries also need support systems for the technology they already have. Massachusetts proposes to "explore options for providing technical support and expertise" (MBLC 1997, 19) to libraries, in order that they may use technology better. All the case study states intend to provide more training in Internet use to library staff. What remains to be seen is how this will translate into services to users.

Finally, an important task of each state library is balancing the use of federal, state, and local funds. Like it or not, some states are simply richer than others. Some states also make library spending a higher priority than others do. Some states have effective lobbying groups which influence library spending. In this area, Massachusetts seemed to be doing well. They were able to designate LSTA funds for use as seed money to start new, innovative projects. If a project worked, they could

often get state funds to continue and even expand it. This also meant that the LSTA coordinator had to pay attention to the projects and their outcomes. Other states did not mention any similar efforts. Texas and Massachusetts both required that local funds be added to LSTA funds in many direct grants to libraries. This encouraged a local stake in the project. As of September 1998, New Mexico and Arizona had not announced any direct grant programs. Because they had no direct grants, they were missing the opportunity to multiply the effect of federal grants by matching them with local funds. Even though many local governments are relatively poor, they will pay for library services if their citizens want them. The state libraries should try to determine how to ease this process along and encourage local governments. Perhaps working with other state-level agencies, state municipal leagues, or state legislatures would be helpful.

The results from the survey and case studies allow a more complete understanding of the LSTA process and how it influences library services in the states. The transition to the IMLS is an important part of this process. The final chapter of this thesis presents implications of this research. In it, suggestions are made for improvements to the LSTA program. LSTA is also described in terms of the general models of intergovernmental relations.

IMPLICATIONS

This study of the use of Library Services and Technology Act (LSTA) funds is an important evaluative tool for administrators of the program. In addition to adding to the body of knowledge about intergovernmental relations, this study may prove helpful to librarians and administrators working with this program. While LSTA does not represent a large part of the federal budget ($134 million, or .008 percent of the total budget for FY1998), federal support is nonetheless quite important to libraries in the United States (Molz 1990). LSTA recipient libraries are creating programs which use technology, providing services to those who do not have access to local libraries, and educating their users about the Internet. Libraries are also using LSTA funds for statewide projects such as access to online databases and resource sharing networks. In some states, LSTA funds are used for demonstration projects, which are later continued with state or local government funds. Librarians agree that technology is important to their services and users.

LSTA is continuing the success of the previous federal library grant programs. State coordinators are adjusting to the changes from LSCA to LSTA, and are changing their state programs to meet new requirements. One major change in LSTA was the removal of construction funds. Some states are now using state funds to support library construction. State LSTA coordinators are generally pleased with the changes from LSCA to LSTA, and with the new administrative style of the IMLS. State coordinators enjoy their new freedom to innovate and to spend less time on

reports and paperwork, although they may sometimes wish for more guidance or feedback from the IMLS. Most complaints about the IMLS center on fiscal matters such as problems with funds transfers or confusion about new fiscal reporting requirements. IMLS staff are perceived as helpful and concerned, although sometimes struggling with lack of staff and not enough time to cover all their assigned duties. Hopefully, some of these problems will be remedied by the IMLS's planned addition of new staff members.

In the near future, the states will hopefully fully incorporate the changes in LSTA into their programs. A difficult area may be serving all types of libraries instead of just public libraries. Judging from the case studies, some states are doing better at this than others. In some states, this may involve changes in state fiscal regulations or policies to allow funds to be granted to school, academic, or special libraries. The IMLS may want to consider ways to encourage incorporation of all types of libraries into state LSTA programs. One method might be for the IMLS to have staff specializing in services to academic, school, or special libraries, or in multitype library projects. State libraries could also be encouraged to expand their staffs to include those with such expertise. Successful programs involving these types of libraries could be publicized to the states, showing the benefits of such projects. Another simple step would be to add other types of libraries to state library mailing lists.

The two major program emphases of library technology and services to the underserved seem to be at odds in some states, as shown in the New Mexico case study. Future research might well examine whether there are ways that these two aspects of LSTA can work together more effectively. Can the states develop new ways to serve the underserved that are more effective and efficient than the traditional bookmobiles? Many states face the problem of large underserved rural areas. This common problem is handled differently in the states. States would benefit from a systematic evaluation of which programs work well and why. This is an area that the IMLS may want to investigate further. However, the authorizing legislation for LSTA gives the states the freedom to allocate their LSTA money between the various uses as they see fit. In the context of devolution, the IMLS may choose to just leave this up to the states.

The new structure of LSTA gives the states the opportunity to create their own innovative programs. More power to plan spending and programming is devolved to the states, following the trend in U.S. federal grant programs (Nathan 1995, Peterson 1995). States can experiment with solutions for their specific needs and problems. This will probably cause divergence in LSTA programs between states (Anton 1997). This is good, because the citizens of different states have different needs for library services. As the power to design and create programs is devolved to the states, they must be prepared and willing to use it (Rich and White 1996). Judging by the case

studies, states are realizing that they now have more freedom and are taking tentative steps to redesign their programs.

Devolution may not be a smooth transition. In 1998, LSTA is an example of a program that has undergone successful administrative reform as directed by the National Performance Review. The amount of federal oversight has decreased greatly. This is illustrated by the reduced reporting required from the states. The national government provides a set amount of funding to each state, determined by a fixed formula. The states are required to provide some matching funds. The states have the power to spend these funds as they see fit, as long as the uses are within the broad guidelines specified in Public Law 104-208. IMLS also makes additional funds available through competitive grant programs, so that states have access to more federal funds if they are interested. There has been no recent move by the President or Congress to reduce federal funds for these programs. In fact, $134 million was allocated for LSTA in 1998, an increase of 7.5 percent over the 1997 LSCA allocation of $124 million. Freedom has been returned to the states but resources have not been reduced.

States are not yet accustomed to this new freedom, and keep looking to the IMLS for guidance. This was most apparent at the 1998 ALA meeting of LSTA coordinators. At this meeting, IMLS staff encouraged the states to design their own reporting format, but the state coordinators repeatedly asked the IMLS to tell them exactly what to report. State libraries may become more proactive in the coming

years, but the IMLS needs to coach them more now. Increased personal contacts from the individual IMLS staff members to the states they oversee would be one way to work toward this goal.

This study points out several areas where the LSTA program could be improved. First of all, IMLS fiscal procedures and reporting are difficult for some states. This may be partly due to the transition from the Department of Education and the change to new funds transfer procedures. When interviewed, IMLS staff anticipated hiring a fiscal specialist soon. However, this is an area which should be monitored closely. Required fiscal reporting should be clarified. Fiscal questions should be answered promptly and accurately, and the IMLS should actively distribute instructions on fiscal procedures.

Second, more information about LSTA programs should be available to the state coordinators. Specifically, LSTA coordinators do not know what other states are doing. They have no formal means of exchanging information. Massachusetts LSTA coordinator Souza stated that the main way she learns about other state's programs is from new librarians in her state, who tells her about the programs in states where the formerly worked. The only meeting of the LSTA coordinators is at the annual ALA conference, and many coordinators do not attend. Knowledge of programs in other states would provide an opportunity for successful programs to be duplicated. Sharing ideas would also provide an opportunity for brainstorming. The IMLS might consider paying for an annual meeting of the state coordinators in Washington.

Another means for increasing information flow would be creation of an Internet mailing list for the LSTA coordinators. The IMLS could take an active role in the list, and publicize the successes of particular programs in the states. This technology-based approach would be particularly appropriate for an agency advocating increased use of technology. A third option would be for the IMLS to create groups of states, with similar demographics or in the same geographic region, and encourage or require them to share information and program plans. This might even lead to interstate library service efforts.

This study allows researchers to fit libraries into the general models of intergovernmental relations in the U.S. As with health care (Rich and White 1996), library policy making fits well into the model of cooperative federalism. National, state, and local governments each have a part in the process. All work together to provide the best possible services. LSTA exemplifies this process. The national government supplies some funding and general policy guidance. The states supply more funding and a specific state LSTA plan. The local governments supply funding and their own inputs about local needs and interests, while actually providing most of the services. With all these librarians working together to provide access to technology and services to the underserved, more can be accomplished than if each level of government was working alone.

Librarians are one post in Walker's (1995) bamboo fence model; they have common professional goals and values, but are also subject to the vagaries of their

level of government. Librarians have strong professional values, and generally agree on the importance of providing equitable access to information. However, other forces may be at work on each level. Librarians at the national level are responding to pressures to devolve power to the states. State librarians follow state policies, such as Texas' policy of not making grants to school libraries. Local libraries are at the mercy of local funding authorities and boards of trustees. The survival of federal grant programs to libraries for over forty years testifies to the ability of librarians to "bend with but not succumb to prevailing political winds" (Walker 1995, 27). Somehow, librarians still work together and provide a wide variety of services to the citizens. LSTA is an important part of this process, in that it provides federal funds and general policy direction to the states.

The states hold much of the power in the LSTA process. In fact, LSTA seems to fit better into Wright's (1993) coordinate model, rather than the overlapping-authority model he prefers for the U.S. government as a whole. In the LSTA process, the state and national governments have separate spheres of influence, although there is some overlap. The states basically have the freedom to spend the money as they see fit, while following general federal rules and guidelines. Local governments, however, are totally controlled by the states in this process. The state has the freedom to keep all the money, or to give some of it to the local libraries. If they do give it out, they can be as specific as they like about how it is to be used. The state can also provide services to all libraries in a state, whether they really want them or not. An

example is access to electronic databases, which any given local library may or may not want. A more graphical representation of the relations between the three levels of government as they affect these federal grant programs can also be used to illustrate the changes that have occurred under LSTA. Figure 15 show the relations under the predecessor LSCA program, whereas Figure 16 provides a model of the relations under LSTA. The similarities in the two models are that in both instances local libraries are wholly encompassed by the states. Local library LSTA programs exist only as the state permits. Both models also depict areas of overlap between the state and national government. The notable differences in the models are the relative importance of the state and national governments, as reflected by their size, and the size of the overlap. Under LSCA, the national government was significantly more controlling relative to the states. Under LSTA, they are co-equals. The are of overlapping authority has also decreased as the federal government has allowed the states more autonomy and flexibility.

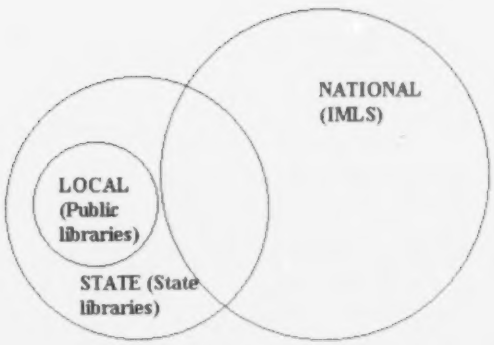

Figure 15: Model of the LSCA Process

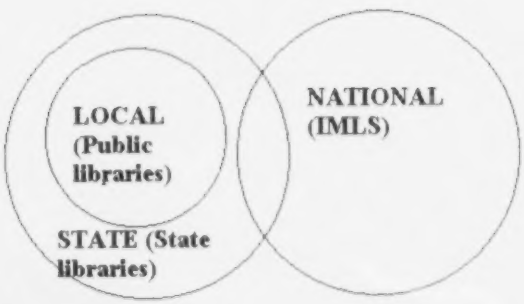

Figure 16: Model of the LSTA Process

In the final analysis, each level of government involved in the LSTA process should focus on their areas of expertise. As in the cooperative model of federalism, each level has its own role. National level officials interpret federal laws, work with

Congress, collect national statistics, advise states on developing programs, and disseminate information about successful programs. State libraries plan and develop programs to meet user needs in their state, as well as coordinating statewide programs and advising local libraries in various areas. Local libraries develop their own specific programs for using LSTA funds and supply direct services to users. By working together, librarians can accomplish more than as separate units. LSTA represents a move in the right direction. However, continued modifications will be required to make the programs even more effective at meeting the goal of promoting full access to information for all citizens.

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APPENDIX A : LSTA SURVEY

Library Services and Technology Act (LSTA) Survey

1. What was the total amount of ***Library Services and Technology Act (LSTA)*** funds from the federal government distributed to your state for ***FY 1998***? (Circle correct response)

1 None	5 $1,000,001 - $1,500,000	9 $4,000,001 - $5,000,000
2 Up to $500,000	6 $1,500,001 - $2,000,000	10 $5,000,001 - $10,000,000
3 $500,001 - $750,000	7 $2,000,001 - $3,000,000	11 Over $10,000,000
4 $750,001 - $1,000,000	8 $3,000,001 - $4,000,000	

2. What was the total amount of ***Library Services and Construction Act (LSCA)*** funds distributed to your state for ***FY 1997***? (Circle correct response)

1 None	5 $1,000,001 - $1,500,000	9 $4,000,001 - $5,000,000
2 Up to $500,000	6 $1,500,001 - $2,000,000	10 $5,000,001 - $10,000,000
3 $500,001 - $750,000	7 $2,000,001 - $3,000,000	11 Over $10,000,000
4 $750,001 - $1,000,000	8 $3,000,001 - $4,000,000	

3. When did you submit a plan for use of LSTA funds to the Institute for Museum and Library Services (IMLS)? (Circle correct response)

1 Submitted final five-year plan by April 1, 1997
2 Submitted preliminary plan by April 1, 1997 and final plan by August 1, 1997
3 Submitted plan at a later time (Specify date: _____)
4 Have not yet submitted plan
5 Other (Please specify):_____

4. What percentage of your state's 1998 LSTA funds are distributed to local libraries, rather than being used for programs run by the state library agency? (Circle correct response)

1 0 - 15 %	4 46 - 60 %	7 91 - 100%
2 16 - 30 %	5 61 - 75 %	8 Don't know
3 31 - 45 %	6 76 - 90 %	

5. Compared to recent use of LSCA, what changes are included in your 1998 LSTA plan? (Answer by circling the number corresponding to a level of importance for each category)

	Much more emphasis	More emphasis	Same emphasis	Less emphasis	Much less emphasis	Not applicable
Library cooperation	1	2	3	4	5	9
Underserved	1	2	3	4	5	9
Literacy	1	2	3	4	5	9
Internet	1	2	3	4	5	9
Buying computer hardware	1	2	3	4	5	9
Buying library materials (books etc.)	1	2	3	4	5	9
Networking infrastructure (wiring etc.)	1	2	3	4	5	9
Computer training	1	2	3	4	5	9
Other (please specify): _____	1	2	3	4	5	9

6. Do you expect more changes in the federal ***LSTA*** program in the near future? (Circle correct response)

1 Yes 2 No (Skip to Question 8) 3 Not sure (Skip to Question 8)

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7. What types of changes in LSTA do you expect? (Answer by circling the number corresponding to a level)

	Much more emphasis	More emphasis	Same emphasis	Less emphasis	Much less emphasis
Library cooperation	1	2	3	4	5
Serving the underserved	1	2	3	4	5
Literacy	1	2	3	4	5
Internet	1	2	3	4	5
Buying computer hardware	1	2	3	4	5
Buying library materials (books etc.)	1	2	3	4	5
Networking infrastructure	1	2	3	4	5
Computer training	1	2	3	4	5
Other (please specify): _____	1	2	3	4	5

8. What responses have you received from public libraries **in your state** regarding the following aspects of LSTA? (Answer by circling the number corresponding to a level)

	Strongly favorable	Favorable	Not sure / mixed	Unfavorable	Strongly unfavorable
LSTA's emphasis on technology	1	2	3	4	5
Amount of LSTA funds available	1	2	3	4	5
Federal library priorities being applied at the state/local level	1	2	3	4	5
State LSTA plan	1	2	3	4	5
Other (please specify:) _____	1	2	3	4	5

9. The LSTA gives federal money to the states to support library services and technology. What obstacles are there to use of LSTA funds on technology in your state? (Circle all that apply)

1 Lack of public support
2 Lack of political support
3 Other needs are more pressing
4 Libraries don't want technology
5 Already have enough technology
6 No obstacles
7 Other (Please specify): _____

10. In your opinion, how important is library technology to various groups **in your state**? (Answer by circling the number corresponding to a level of importance)

	Vital	Very important	Somewhat important	Not very important	Not at all important	Not sure
You personally	1	2	3	4	5	9
Public librarians	1	2	3	4	5	9
Librarians in general	1	2	3	4	5	9
State library	1	2	3	4	5	9
State legislature	1	2	3	4	5	9
Governor	1	2	3	4	5	9
General public	1	2	3	4	5	9

11. How would you rate the Institute for Museum and Library Services (IMLS) compared to the Department of Education's Office of Library Programs (OLP)? (Circle correct response)

The IMLS is much harder to work with	The IMLS is somewhat harder to work with	The IMLS is the same as OLP	The IMLS is somewhat easier to work with	The IMLS is much easier to work with
1	2	3	4	5

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12. In your opinion, how is the IMLS different from the Department of Education's Office of Library Programs? (Answer by circling the number corresponding to a level of performance)

	IMLS is much better	IMLS is better	IMLS is same	IMLS is worse	IMLS is much worse
Response to requests	1	2	3	4	5
Amount of paperwork	1	2	3	4	5
Helpfulness of staff	1	2	3	4	5
Dissemination of information about their programs	1	2	3	4	5
Other (please specify): _____	1	2	3	4	5

13. How do you view your role as a state LSTA coordinator? (Answer by circling the number)

	Strongly agree	Agree	Not sure	Disagree	Strongly disagree
Enforcer of federal rules	1	2	3	4	5
Planner for statewide programs	1	2	3	4	5
Developer of new programs	1	2	3	4	5
Supporter of local libraries	1	2	3	4	5
Intermediary between higher and lower levels of government	1	2	3	4	5
Other (please specify): _____	1	2	3	4	5

14. What other library grants programs does your agency currently administer? (Circle all that apply)

1 State funded grants
Please give example: _____
2 Other federal grants besides LSTA
Please give example: _____
3 Private foundation grants
Please give example: _____

15. How many public libraries are there in your state? Please count a library system with more than one branch as a single library. (Circle correct response)

1 Up to 50
2 51 - 100
3 101-200
4 201-300
5 301-400
6 401-500
7 501-600
8 More than 600

16. Does your state have intermediary library systems between the state library agency and the local public libraries (e.g. county libraries, regional library systems)? (Circle correct response)

1 Yes 2 No 3 Not sure

17. How many full time employees (FTE) does your state library agency have? (Circle correct response)

1 Up to 20
2 21-40
3 41-60
4 61-80
5 81-100
6 101-120
7 121-140
8 141-160
9 161-180
10 181-200
11 Over 200
12 Not sure

18. Where in the administrative structure of your state government is your state library agency located? (Circle correct response)

1 Part of the Department of Education 2 Separate Library Agency
3 Other (Please specify) _____

Your name: _____
Title: _____
Library: _____
Address: _____
Phone number: ( )_____ Fax number: ( )_____
Email address: _____

Would you be willing to participate in a more extensive (10 to 15 minute) phone interview on this topic? ____ Yes ____ No

May I quote you in writing my thesis and subsequent research projects?
____ Yes, you may quote me using my name, job title and institution.
____ Please contact me for permission before using any quote.

Please add any other comments you have about your state's LSTA or LSCA grants, relations between federal, state, and local libraries, or library use of technology in your state:

Thank you for your participation.

Please return this survey in the postage-paid envelope provided to:
Gwen Gregory
NMSU Library
Box 30006 Dept. 3475
Las Cruces NM 88003

by: June 1, 1998.

APPENDIX B: INTERVIEW QUESTIONS

How long have you been working with LSTA/ LSCA? What is your professional background?

What do you find rewarding about your work with LSTA?

How do you see your role in the LSTA process?

How important do you think LSTA is to the nation? Within your library agency? Within your state?

Who are the beneficiaries of LSTA?

How do you determine what your state does with LSTA funds? Please describe the process. What input does the IMLS have? How about local libraries? What percentage of the funds are kept for programs run by the state library?

What do you personally think about the changes from LSCA to LSTA? How about others at your state library? Librarians in your state?

How do you see the staff of the IMLS? Are they your allies or adversaries? Who is your contact there? How do they treat you?

What kind of contact do you have with public libraries in your state?

Have your LSCA funds ever been withheld? If so, why?

How does the IMLS make sure you follow your plan?

Has LSTA affected your state's library policies? How?

Do you think LSTA gives your state enough flexibility?

Have you worked with national or state library associations in lobbying efforts related to LSCA or LSTA?

How is your agency handling LSTA's new emphasis on all types of libraries, rather than just public libraries? How do libraries in your state view this change?